

PERSONNEL COMMITTEE – 13TH OCTOBER 2020

Report of the Head of Strategic Support

Part A

ITEM 9 MANAGERS GUIDANCE AND TOOLKIT ON MENTAL HEALTH AND SUPPORTING EMPLOYEES

Purpose of Report

Personnel Committee to consider the proposed new Managers Guidance and Toolkit on Mental Health and Supporting Employees, the ✓Mindful Employer Charter and amendments that have been made to the Attendance Management Guidance document.

Recommendation

That Personnel Committee agree the changes as outlined above including the proposal to sign up as a ✓Mindful Employer.

Reason

The purpose of the Managers Guidance and Toolkit on Mental Health and Supporting Employees, and associated documents, is to provide a range of documents and information that enable managers to support employees with mental health issues, and signpost to areas of support.

Policy Justification and Previous Decisions

The current guidance on supporting employees with mental ill health, for managers was last reviewed in 2012. It included a significant amount of information which is now contained within the Attendance Management Guidance document. Areas of duplication and potential contradiction have been removed and areas of support have been updated within the proposed Managers Guidance and Toolkit on Mental Health and Supporting Employees.

Implementation Timetable including Future Decisions

It is recommended that the Guidance on Job Share Arrangements be published on the intranet, following the Personnel Committee meeting.

Financial Implications

There are no immediate financial implications arising from this decision.

Risk Management

There are no specific risks associated with this decision.

Background Papers: none

Annexes: Annex A – Managers Guidance and Toolkit on Mental Health and Supporting Employees.

Annex B - ✓Mindful Employer Charter – General Information.

Annex C - The amended Attendance Management Guidance document.

Annex D - The HSE Stress Management Competency Indicator Tool.

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Part B

Background

1. Mental ill health accounts for a significant number of days lost through sickness absence within the Council. It is not unusual for an employee to be absent due to mental ill health following the management of their behaviour, performance or attendance. Mental illness can also have a negative effect on an employee's output and quality of work.
2. Many managers require a high level of support and guidance to enable them to support employees who are experiencing mental health issues effectively. The Council provides a number of positive interventions to support employee wellbeing and these include the following:
 - Health checks and wellbeing 'events days' held in the breakout;
 - Occupational Health support;
 - Access to counselling services.
3. A number of employees, within the Council have recently been trained as mental health first aiders and access to this support is signposted within the proposed guidance and toolkit.

The toolkit provides templates and interventions for managers and employees and includes;

- A wellness support plan template;
 - A table outlining symptoms of stress and anxiety;
 - Advice and areas of support available for employees;
 - Information about national support provisions.
4. A general Health and Wellbeing' page has recently been uploaded onto the intranet.
 5. HR are planning to deliver further training and development on Attendance Management, which will incorporate an element of managing employees who are absent due to mental ill health.
 6. ✓Mindful Employer is a charter for employers who are positive about mental health. It requires a commitment to a set of values that reflect the Council's values and a signatory fee of £110. The benefits of signing up to the charter include recognition and a number of resources, see Appendix B
 7. The Council's Attendance Management Guidance document has been amended to incorporate key areas of advice contained within the current guidance on mental health. Changes are highlighted within Appendix C. The HSE Stress Management Competency Indicator Tool is attached as additional information at Appendix D.
 8. The Managers Guidance and Toolkit on Mental Health and Supporting Employees, and associated documents, were considered by SLT on 26th February 2020 and JMTUM on 27th August 2020. At the JMTUM meeting the trade unions asked that they be referenced as an area of support to employees

within the Managers Guide. It was acknowledged that this is already referenced within the Attendance Management Policy. Additionally the Council supported this further inclusion within the Managers Guidance and Toolkit on Mental Health and Supporting Employees.

Managers Guidance and Toolkit on Mental Health and Supporting Employees

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1 Introduction

Charnwood Borough Council is committed to developing a culture and work environment where employees feel able to be open about their experiences of mental health. Mental health is an integral part of how we feel about our jobs, how well we perform and how well we interact with colleagues, customers and clients. There is a strong relationship between levels of staff wellbeing, motivation and performance.

This guide is written for managers - it recognises that the workplace is diverse, challenging and often uncertain, and that line managers take a key role in addressing mental health problems in the workplace. This toolkit is intended to be used as a source of practical advice for managing and supporting employees who may experience mental health problems. In addition to the general guidance, the following ‘tools’ are attached:

- Appendix 1 Wellness Support Plan:
- Appendix 2 Acute Anxiety and Stress Symptoms – Signs to look for:
- Appendix 3 Support with Mental Health - Information for Employees.
- Appendix 4 Sources of Further Support.

2 Role of a Line Manager

It is important to remember that as a line manager you are not expected to be a therapist, counsellor or mental health expert - throughout this resource, areas of professional support services are detailed. However, it is important that you feel confident in holding key conversations with your employees, signposting them to areas of support, and managing mental health related sickness absence cases, including supporting employees with their return to work.

3 Defining Mental Health

We all have mental health in the same way that we have physical health. Mental health includes our emotional, psychological and social wellbeing. It affects how we think, feel, and act.

The World Health Organisation defines good mental health as “A state of wellbeing in which every individual realises his or her own potential, can cope with the normal stresses of life, can work productively and fruitfully and is able to make a contribution to her or his community.”

Good mental health is not just the absence of mental health problems - individuals with good mental health:

- Develop emotionally, creatively, intellectually and spiritually;
- Initiate, develop and sustain mutually satisfying personal relationships;
- Face problems, resolve them and learn from them;
- Are confident and assertive;
- Are aware of others and empathise with them;
- Use and enjoy solitude.

What is Mental Ill Health?

Mental health fluctuates on a spectrum from good to poor and it is affected by a range of factors both in and outside of the workplace. In the UK, one in four adults are expected to experience a mental health problem each year and many more will experience stress in some form.

However, we do not always take the same approach towards mental ill health as we do to physical ill health, making it very difficult for people to open up about the difficulties they face, often suffering in isolation.

Mental illnesses cover a wide variety of conditions, with a range of symptoms which can vary from person to person, affecting different people in different ways, including the length of time they experience it for. In general, we categorise mental ill health as temporary, fluctuating or ongoing.

Below are some of the most common mental health issues;

- Depression;
- Anxiety;
- Bipolar disorder;
- Psychotic Disorders;
- Personality Disorders;
- Obsessive Compulsive Disorder (OCD);
- Post-Traumatic Stress Disorder (PTSD);
- Autistic Spectrum Disorder (ASD);
- Body Dysmorphic Disorders.

Detailed information on the different types and nature of mental health problems is available on the Mind website

Mental Health and Stress

The Health and Safety Executive (HSE) provides the following useful definition of stress: “The adverse reaction people have to excessive pressures or other types of demand placed on them.” This makes an important distinction between pressure, which can be a positive state if managed correctly, and stress which can be detrimental to health.

You can help your staff to manage stress in the workplace by providing them with a Wellness Support Plan and discussing this with them at one of your regular individual meetings. See Wellness Action Plans in Point 4 below. The document template is attached as [Appendix 1](#).

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4 Helping to Create a Mentally Healthy Workplace



Line managers can play a fundamental role in creating a mentally healthy workplace where there is a positive, transparent and clear organisational culture which values employees and their mental health. Employees should feel confident that disclosure of mental health problems will lead to support, not discrimination. Below are recommendations on how you as a line manager can help create a mentally healthy workplace:

Promote Open Communication

- Communication is the cornerstone of an effective working environment.
- Promoting two-way communication between peers and across hierarchical lines, establishing a strong network of communication, as well as having an open door policy automatically makes working much easier and effective for everyone.
- A workplace culture where employees feel able to voice ideas and are listened to, both about how they do their job and in broader decision-making is also a key factor.
- Where possible, empower employees to make decisions and plan their own work. This promotes a culture of trust and shared responsibility.

Promote Wellbeing - Especially Positive Messages about Mental Health

- Raising awareness and promoting communication on health and wellbeing, particularly mental health and wellbeing.
- Where possible reiterate clearly to your employees that their mental health matters and being open about issues will lead to support, not discrimination.
- General Health and wellbeing information is available on the Intranet page. Please access this on the CBC Wellbeing@work site [here](#).

Normalise Conversations on Mental Health

- Managers need to be approachable and confident about mental health and should take steps to normalise conversations about mental health and encourage open dialogue.
- Address the topic of mental health in team meetings and individual performance reviews. Regular one-to one meetings are a chance to ask people how they are doing which helps build trust and create an opportunity to address any problems at an early stage.

Acknowledge Contributions

Positive reinforcement is a powerful tool that should not be underestimated. It shows that you care about your employees, boosts morale, and encourages them to do better. Acknowledge hard work.

Promote Team Spirit

- People like working in teams. Statistics show that people are at their most efficient when they work in teams. Encourage proactive teamwork where possible.
- Teams promote unity - when people work in teams, they see themselves as a group that works towards the attainment of a common goal.

Provide a Positive Working Environment

A positive physical working environment is important. It can have an impact on the attitude and productivity of employees, and hence on their ability to work well. Areas to consider include:

- Ambient temperature;
- Quality of lighting;
- Personal space;
- Noise levels;
- Quality of air;
- Furniture and fittings;
- Promote interaction and communication.

However, it is important to recognise that there may be obvious restrictions on where people work and how offices can be adapted.

Wellness Action Plans

An easy and practical way of helping you to support both the mental health of your team members or your own mental health, is to complete a Wellness Support Plan. It enables you to have practical steps in place to ensure that you support employees if they start to struggle. A copy of a Wellness Support plan is attached as [Appendix 1](#).

This is a personalised practical tool to help identify what keeps us well at work, what causes us to become unwell and the support we would like to receive from management to boost wellbeing or support through a recovery.

These can be completed individually, in team meetings or if you feel you have concerns about one of your employees, they can be used to open the conversation about their health and wellbeing.

5 Identifying Mental Health Issues at an Early Stage

The earlier you can notice that an employee may be experiencing mental health difficulties, the quicker you can take steps to support them. If an employee receives support early on, it can help prevent the employee becoming more unwell and undergoing a period of sickness absence.

So, what are the indicators of poor mental health?

Indicators will vary, as individual experiences of mental health problems are different, but there are some common factors to look out for. Below are some common symptoms, feelings and behaviours which are often associated with mental health problems:

- Changes in their work output, motivation levels and focus;
- Poorer performance and issues with capability;
- Struggling to make decisions, get organised and find solutions to problems;
- Increased episodes of sickness absence;
- Appearing tired, anxious or withdrawn and losing interest in activities and tasks they previously enjoyed;
- Changes in eating habits, appetite and increased smoking and drinking;
- Changes in people's behaviour or mood or how they interact with colleagues;
- Frequent headaches or upset stomach;
- Tearfulness;
- Panic attacks.

An individual struggling with mental health may also experience symptoms such as psychotic episodes, self-harm or thoughts of self-harming, and even suicidal feelings.

For further information on the common symptoms of mental illness, please take advantage of the 'Introduction to Mental Health Problems resource' available online on the Mind website [here](#). . Signs to look for in identifying symptoms of stress and acute anxiety are attached as [Appendix 2](#).

6 Taking Action - Talking with Employees at an Early Stage



If you notice any of the above areas of concern it is your responsibility as a manager to talk to an employee at an early stage to prevent any problem from escalating. However, we recognise there may be occasions when this is not possible, and a discussion may be prompted due to attendance or performance issues.

Regular one to one meetings and informal chats are ideal opportunities to ask your employee how they're getting on, and doing so regularly, will help build trust and give employees a chance to raise problems at an early stage.

It is important to remember that stress comes with most jobs - we are all stressed at times. Everybody may feel under pressure but not everyone suffers the adverse reaction of stress or a mental health problem - everybody reacts differently. The aim of the conversation is to provide reassurance and support to the employee in an open, positive and non-judgemental way to address where possible, the barriers to normal working life that the employee might be experiencing.

Ideally, an employee experiencing a mental health problem at work should feel able to raise this with you as their manager. However, if you feel someone's mental health may be impacting on their work or that their work is affecting their health, it is important to talk about these at an early stage.

Below are a few key points for consideration before having the conversation;

The Time and Place

Have a conversation in a private and quiet space where the employee feels comfortable and conversations cannot be overheard. Consider a neutral space away from your workplace.

Make sure you schedule an appointment at an appropriate time for both you and the employee, with no impending meetings soon after. This conversation will need your full attention and interruptions should be avoided.

Be considerate if you are scheduling the conversation via an email calendar invite - others may be able to see the appointment. Ask the employee if they would want to have a close colleague along to support them at the meeting.

If the employee has indicated that they are feeling stressed, anxious or depressed prior to the meeting, provide them with the Support with Mental Health document. If you are meeting with them because you have noticed changes in their behaviour, then take a copy along to the meeting.

Familiarise Yourself with Areas of Support

A key outcome of the conversation is to ensure the employee feels reassured and explore how the employee can be supported and how any adjustments can be made to address where possible, the barriers to normal working life that the employee might be experiencing.

It is important to make sure that the employee is aware of the support the organisation can provide. Therefore, it is crucial that you are fully aware of the areas of support and how you can assist with potential adjustments beforehand. Further detail on adjustments and support is detailed in Appendix 3 and 4, [Support with Mental Health](#).

7 Having the Conversation

Explaining Confidentiality

Explain clearly the limits of your confidentiality - personal information is confidential, however you must explain that you may feel the need to seek advice from HR or occupational health. In such cases, agree who is going to be told what.

Ask questions in an open, exploratory and non-judgmental way. For example,

“I’ve noticed that you’ve been missing some of your deadlines recently, which is unusual for you, and wondered if there is a problem?”

It is important to listen first in order to understand what is being said, and not to begin to offer advice or give opinions from the outset. The aim of the conversation is to allow the individual to talk freely and comfortably about their problems.

Let the individual explain in their own words how the mental health problem is affecting them and what impact this is having on them at work, what circumstances are distressing them and what are the potential causes and/or triggers of the problem.

Demonstrate attentiveness and that you value the employee through supportive comments and body language.

- Don't assume stress or mental health affects everyone equally;
- Make adjustments if a person is stressed or unwell;
- Respect the person's feelings and experiences. Discussions should be as positive and supportive as possible - with both parties exploring the issues and identifying what things each of you can do to help.
- Ask **open questions** - this allows the employee maximum opportunity to express concerns in his or her own way. For example; *"How are you doing at the moment?"* or *"What support if any, have you sought yourself? What support do you think might help?"*
- **Summarising** - this helps to show the person you have listened and understood their circumstances.
- **Reflecting** - simply repeating back a key word or phrase encourages the person to go on and expand on what has been said.
- **Clarifying** - sometimes a person will gloss over an important point or emotion.
- **Short words of encouragement** - the person you are listening to may need help to go on with the story. A simple "yes", "go on" or "I see" may help the person to continue and shows that you are interested.
- **Reacting** - the person is often looking for empathy and understanding. Phrases like "that must have been difficult," or "you have had a bad time" can help.

When speaking to the individual, it is important that you try to **avoid**:

- Making assumptions or diagnoses. Remember you are not a doctor or counsellor, so it is best to avoid making assumptions;
- Using medical language linked to illnesses like "you seem a bit depressed";
- Do not offer superficial advice such as "cheer up";
- Pushing for answers - be patient and do not rush in with another question without listening to the answer you have been given;
- Try to avoid asking questions that could create pressure like "What's wrong with you, then?" or "Are you stressed or something?" Instead consider wording questions sensitively to glean information, such as, "I understand that this may be difficult however"
- Avoid being critical.

Discussing any Performance or Absence Concerns

- When performance is being affected, you may be concerned that giving criticism is going to cause the employee distress or undermine their confidence and you should be sensitive to the level of information that an individual could potentially deal with at that moment in time.
- However, it is important to be open and honest. If you have specific grounds for concern with regards to performance, standards of work, and areas of capability it is important to talk about these clearly at an early stage.

- For further information on the Managing Employee Performance Policy and Procedure, please visit the Intranet HR A-Z page.
- You should also address any concerns you may have in relation to increased episodes of sickness absence by referring to the Intranet HR A-Z page and the Attendance Management Policy and Procedures together with Managing Attendance Guidance.

After the Conversation

Following the meeting it is important that there is a mutual understanding in terms of any support or adjustments that have been agreed upon and what will happen next so that expectations are clear on both sides.

It is recommended that you make a record of the conversation, what was discussed and the key action points.

Plan for a follow up meeting to review the situation and assure the employee that open discussion and support will continue and that your door is always open. You may also wish to refer your employee to a trained [Mental Health First Aider](#) who can provide further guidance and support them in getting the appropriate help. You should also ensure that they are aware that they can access counselling through the Council's providers, AMICA. HR can provide you with contact details to pass onto the employee.

8 Practical Adjustments after speaking to an Employee

Below are some simple and practical adjustments that can be made to support the employee with their daily working;

- **Increased supervision or support from you as the manager** - for example, some people can take on too much so may need their manager to monitor their workload to prevent this and ensure they're working sensible hours.
- **Extra help with managing and negotiating workload**
- **More positive and constructive feedback**
- **Flexible hours or changes to start/finish time –**
- **Changes to break times**
- **Working from home** - Although it's important to maintain regular contact so people remain connected and don't feel isolated, the employee may benefit from short periods of working at home, when appropriate.
- **Reallocation of some tasks on a short-term basis**
- **Be aware of the impact one employee's mental health may have on the rest of the team, whether as a result of a reasonable adjustment or because of their symptoms or behaviour –** discuss options with your employee. However, be guided by their wishes.

Reasonable Adjustments under the Equality Act 2010

Under the Equality Act 2010, if an employee has a 'mental impairment that has a substantial, adverse, and long-term effect on their ability to carry out normal day-to-day activities' the organisation has a legal duty to make reasonable adjustments.

Sickness Absence

If the employee has been absent from work, due to mental ill-health, refer to the Managing Attendance Guidance document on the HR A-Z and seek advice from HR.

Appendix 1 Wellness Support Plan

Wellness Support Plan

The wellness support action plan gives an employee an opportunity to plan in advance and understand what works and doesn't work for them when they are experiencing poor mental health. The plan can help an employee develop different strategies to support their general wellbeing and mental health in work.

The support plan is a useful tool to start having conversations around general wellbeing.

Employees can fill this document in with their line manager during a one to one or independently and discuss with managers once completed. The support plan should be reviewed on a regular basis to ensure that it is kept up to date and adapts to any changing needs.

Please also read through the Acute Anxiety and Stress Symptoms (at the end of this document), to see if these are relevant to support you further.

What helps you stay healthy at work? (e.g. lunch breaks away from your desk, exercise, office environment etc)

How can I / your manager proactively support your wellbeing, to stay mentally healthy at work? (e.g. regular feedback/ catch ups, smarter working arrangements)

Are there any situations at work that can trigger poor mental health / issues that affect you at work (e.g. change, conflicts at work, demands, work not going to plan, relationships)

If you are experiencing poor mental health how would this impact on you at work (e.g. find it difficult to make decisions, confusion, headaches)

Are there any warning signs that we might notice when you are starting to experience poor mental health (e.g. becoming quieter, struggling with work demands).

What support could be put in place to minimise the triggers or help you manage the impact (e.g. extra catch ups, smarter working, guidance on prioritising work)

If we are noticing early warning signs that you are starting to experience poor mental health – how should we support you (e.g. Get in touch with someone that you want us to contact, refer to the Employee wellbeing service, discuss it with you)

What steps can you take if you start to experience poor mental health at work? Is there anything we can do to facilitate these? (e.g. ask for extra support from your manager, smarter working, breaks from your desk)

Is there anything else that you would like to share/ make us aware of?

Employee Name: _____

Signed: _____ Dated: _____

Line Manager signature: _____ Dated: _____

Date to be reviewed _____

Appendix 2 Acute Anxiety and Stress Symptoms

Green - Calm	Amber – Active/alert	Red- Fight or Flight
Secure at home and at work.	Feeling anxious sometimes, at work, at home or when socialising.	Feeling continuously angry, insecure, numb or stressed. Relationships affected by negative behaviour.
Normal emotions, calm, empathic, love, pleasure, happy, excited, confident. Occasionally a low level of anger, frustration, worry or sadness with general life experiences.	Worried more often about performance at work or at home. Apprehensive but sure you can manage this. Normal emotions, love, pleasure, excitement, confident in some areas, but anxiety, anger and frustration is slightly higher	Finding little enjoyment in work and every day activities. Anxious, fearful, hypo, angry, irritable, feeling low, lack of motivation. Frustration and disappointment in others and self. Lonely, isolated, misunderstood, tearful and forgetful. Some suicidal thoughts, mind racing, depression.
Clear thinking, good time management with work and leisure activities. Good relationships at work and at home.	Making a few mistakes at work. Late for work occasionally. Working over your hours, less time for family and leisure. Cancelling social activities.	Confusion, unable to take in information. late for work, or off sick often. Withdrawal form social and leisure activities.
Relaxed. Sleeping and eating well. Taking regular holidays. Taking daily lunch & tea breaks at work.	Disturbed sleep some nights, skipping meals, unhealthy eating. Tired and lethargic sometimes. Drinking too much alcohol.	Not sleeping or eating well. Difficult to swallow food. Loosing or gaining weight, feeling sick, IBS, indigestion. Drinking too much alcohol and/or taking drugs.
Breathing low and regular	Breathing high level in chest sometimes. Sighing and yawning.	Breathing fast, muscles tight around chest. Shaking in limbs and body, sweating. Panic attacks.

Heart rate normal, blood pressure normal.	Aware of some anxiety in certain situations where heart beats faster. Increase in blood pressure.	Heart racing, palpitations, and high blood pressure.
Muscles relaxed no tension in body. Finding time for self-care and family.	Some tension in head and shoulders, clenching fists, rushing about, finding less time for self-care.	Often feeling tense, frequent headaches, muscle tension, clenching teeth. Self neglect.
Positive and rational thinking. Good decision making and life choices.	Doubting ones' ability. Receiving feedback at work as negative. Some unrealistic thinking.	Withdrawal from office meetings. Difficulty in making important decisions. Pessimistic thoughts.

Appendix 3 Employee Support for Mental Health

Charnwood Borough Council is committed to developing a culture and work environment where employees feel able to be open about their experiences of mental health.

If you have a mental health issue or concern, we encourage you to talk with one of the following to see how you can be supported:

- Your line manager or another manager who you feel more comfortable with
- AMICA - The Employee Wellbeing Service
- A Mental Health First Aider
- A recognised trade union representative

The conversation that you have with any of these people will be treated confidentially (unless there is an immediate risk to your health and safety).

A good starting point for any conversation regarding health and wellbeing is to complete a [Wellness Support Plan](#) (see appendix).

Talking to your Manager

If your mental health issue is affecting you at work your manager should take reasonable steps to support you at work, this might mean making adjustments to your job and / or environment.

For managers:

If you are a line manager supporting an employee with a mental health issue, use the [Managers guide on mental health and supporting employees](#). You may also wish to contact HR for further support or guidance.

AMICA

Tel: (0116) 254 4388

The Council's counselling service, [AMICA](#) is a telephone counselling, support, advice and information service provided by qualified and accredited counsellors. It is a free and confidential service that is available to all Council employees.

A Mental Health First Aider

The role of a Mental Health First Aider in the workplace is to be a point of contact for an employee who is experiencing a mental health issue or emotional distress. This interaction could range from having an initial conversation through to supporting the person to get appropriate help. As well as offering support in a crisis, Mental Health First Aiders are valuable in providing early intervention help for someone who may be developing a mental health issue.

Mental Health First Aiders are not trained to be therapists or psychiatrists, but they can offer initial support through non-judgmental listening and guidance.

Mental Health First Aiders are trained to:

- Spot the early signs and symptoms of mental ill health:
- Start a supportive conversation with a colleague who may be experiencing a mental health issue or emotional distress:
- Listen to the person non-judgmentally:
- Assess the risk of suicide or self-harm, where possible:
- Encourage the person to access appropriate professional support or self-help strategies. This might include encouraging access to internal support systems:
- Escalate to the appropriate emergency services, if necessary:
- Maintain confidentiality as appropriate:
- Complete critical incident documents as and when necessary, while maintaining confidentiality as appropriate:
- Protect themselves physically and emotionally while performing their role:
- Uphold their role as a Mental Health First Aider alongside their other responsibilities:
- Establish appropriate boundaries between themselves and colleagues they may be supporting:
- Refresh their skills every year, and attend training every three years

A full list of Mental Health First Aiders and their contact details can be located on the Intranet and on noticeboards.

Appendix 4 Further Sources of Employee Support for Mental Health Issues

Crisis support

If you or one of your colleagues is in a crisis situation, you can contact one of the following organisations for support:

[Samaritans](#) - Tel: 116 123 (free, any time, from any phone)

Confidential emotional, crisis or general mental health support 24 hours a day

[Anxiety UK](#) - phone 08444 775 774

[Bipolar UK](#)

[CALM](#) (Campaign Against Men Living Miserably)

[MIND](#)

External support

If you would prefer to speak with someone outside of work, there are local organisations that can provide you with support.

- [Leicestershire Action on Mental Health Project \(LAMP Direct\)](#)

Tel: (0116) 255 6286

This Leicester based organisation provides a wealth of support and advice in relation to support for people experiencing mental ill health

- [Anxiety UK](#)

Tel: 0844 775774

The ANXIETY UK works to relieve and support those living with anxiety disorders by providing information, support and understanding via an extensive range of services, including 1:1 therapy services.

- [Rethink](#)

Tel: 0300 5000927

Rethink, the leading national mental health membership charity, works to help everyone affected by severe mental illness recover a better quality of life.

- [Helplines Partnership](#)

An umbrella body for organisations offering helpline services to people with mental health needs.

- [MindinfoLine](#)

Tel: 0300 1233393 (Open Monday to Friday 9.15am to 5.15pm)

The MindinfoLine service is run by a dedicated team of specialists, responding to more than 20,000 enquiries a year. Topics range from types of mental distress, where to get help and drug treatments, to alternative therapies, who's who in mental health services and advocacy. Deaf or speech impaired enquirers can contact use the same number (if you are using BT Text direct add the prefix 18001).

- [Time to Change](#)

A national initiative to challenge the stigma and discrimination that people with mental health problems face. Contains information about the effects of stigma and advice for those supporting people with mental health problems. Includes real life accounts of people's experiences including a manager's experience.

- [NHS Direct](#)

Tel: 0845 606 4647

Text phone: 0845 606 4647 NHS Direct offer people in England and Wales medical information and advice by phone or over the internet. They can also refer callers to various self help and support organisations. In Scotland, contact NHS 24 on 08454 24 24 24.

CHARTER FOR EMPLOYERS GENERAL INFORMATION

ABOUT MINDFUL EMPLOYER:

Launched in 2004, Mindful Employer is a UK wide initiative run by Devon Partnership NHS Trust. Providing employers with easy access to professional workplace mental health training, information and advice; our goal is to help empower organisations – large or small – to take a lead in supporting the mental wellbeing of staff.

ABOUT THE CHARTER FOR 'EMPLOYERS POSITIVE ABOUT MENTAL HEALTH':

As part of our service to employers, we administer the nationally recognised 'Charter for Employers Positive about Mental Health'. Different to an accreditation or set of quality standards, the charter is about recognising those employers working towards better mental health at work, no matter of where they are in their journey.

By signing the charter, employers are making a public declaration of their ambition to support the mental wellbeing of their staff by following the values set out by the charter. Signing up is completely voluntary and is not legally enforceable; nor does it require the employer to have already met certain benchmarks.

VALUES:

Organisations who have signed the charter have agreed to commit to the following values:

- To provide non-judgemental and proactive support to staff experiencing mental ill-health.
- To not make assumptions about a person with a mental health condition and their ability to work.
- To be positive and enabling towards all employees and job applicants with a mental health condition.
- To support line managers in managing mental health in the workplace.
- To ensure they are fair in the recruitment of new staff in accordance with the Equality Act (2010).
- To make it clear that people who have experienced mental ill-health will not be discriminated against, and that disclosure of a mental health condition will enable both the employee and employer to assess and provide the right level of support or adjustment.

BENEFITS:

By signing the charter, you will receive:

- Personalised printed and digital copies of the charter to display in your premises.
- Copies of the Mindful Employer logo to display on your website and/or other literature.
- Recognition as a charter signatory through our website.
- A copy of our 'Line Managers Resource' and 'Keeping Well at Work' publications.
- A 10% discount on all Mindful Employer publications and 5% discount on all Mindful Employer training.

You will also become eligible to sign up to our **Mindful Employer Plus** service; an independent and confidential helpline for staff and managers. For more information, please visit our website: <https://www.dpt.nhs.uk/mindful-employer/services>

REVIEWING THE CHARTER:

All charter signatories are required to complete a 'Charter Review' two years after initially signing – then every three years thereafter. Although completion of the review is required to remain a charter signatory, in keeping with Mindful Employer's philosophy, the review process is not intended as an inspection, and as such, there are no 'pass or fail' marks.

Instead, the review is about self-assessment and has been designed to help you to reflect on current practice and policies. Not only does this help you to evidence the progress you are making, but through the review process we are able to provide you with feedback on the things you're doing well, and offer support or advice around areas where you might be struggling.

Further information on the review process will be sent to all new signatories as part of their 'Digital Charter Pack'.



CHARTER ADMINISTRATION FEE:

Payment of an administration fee is required to become a charter signatory.

All fees are subject to VAT and a 5% discount will be applied for registered charities.

No. of Employees	New Signatory Fee*	Charter Review Fee*
Less than 10	£40.00	£75
10 to 50	£55.00	£80
51 to 250	£85.00	£120
251 to 1,000	£110.00	£160
1,001 to 5,000	£150.00	£170
5,001 to 10,000	£200.00	£180
Over 10,000	£250.00	£190

* The above fees are not an annual payment.

* New Signatory Fee: paid on completion of your application to join the charter.

* Charter Review Fee: paid two years after your initial signing date – then every three years thereafter.

APPLYING TO THE CHARTER:

Should your organisation wish to become a charter signatory, please complete the 'New Charter Signatory Form' overleaf, and return this to us at dpt.mindfulemployer@nhs.net. Please note that all fields marked with a red asterisk (*) are mandatory and should be completed.

Once we have received your application, an invoice for your organisations administration fee will be emailed to your chosen primary contact for the Mindful Employer charter; or, if applicable, the invoicing contact outlined in Section 5.

After payment of the administration fee has been made, your organisation will officially be a charter signatory! – from here we will send out your 'Digital' and 'Physical' charter packs, and add you to the list of current signatories on our website.*

* Please note that the list of current charter signatories displayed on our website is updated on a fortnightly basis.

CHARTER FOR EMPLOYERS NEW CHARTER SIGNATORY FORM

1. YOUR SIGNATURE:

To be signed by CEO / MD / Owner / Head of HR or anyone of a similar standing within the organisation.

* Signatory Name:			
* Signatory Position:			
* Signed:		* Date:	

2. ORGANISATION DETAILS:

* Company Name:			
* Business Sector:	Choose One	Reg. Charity No:	
* Company Address:	Line 1		
	Line 2		
	Line 3		
	Town/City		
	County		
	Postcode		
* No. of Employees:			

3. CONTACT DETAILS:

Please provide the details of at least one member of staff that we have permission to contact regarding your organisations involvement with the Mindful Employer Charter. Contact includes:

* Primary Contact:	
* Name:	
* Job Title:	
* Email:	
* Telephone:	

Secondary Contact:	
Name:	
Job Title:	
Email:	
Telephone:	

4. PERMISSIONS & PREFERENCES:

Mindful Employer collects and stores the above data for the purpose of the charter. The name, business sector and region of your organisation will be shared publicly through our website in a list of current charter signatories; and may be shared with our partners working in your local area. We will never share the names or contact details of employees outlined in Section 3 without prior consent.

* I consent for Mindful Employer to store the above details for the purpose of the Charter:	<input type="checkbox"/>
--	--------------------------

Please indicate below with whom you would be happy for Mindful Employer to share details provided in Section 3.

I am happy for Mindful Employer to share the above details with the following:		
Partnership Organisations: <input type="checkbox"/>	Local Employers: <input type="checkbox"/>	Other 3 rd Parties: <input type="checkbox"/>

5. ADMINISTRATION FEE & INVOICING:

We aim to raise an invoice for your organisations administration fee within two weeks of receiving your completed application form. Further details on how to pay the administration fee will be included in your invoice.

* Please select the fee that applies for your organisation based on your number of paid employees:		
£40 + VAT (Less than 10) <input type="checkbox"/>	£55 + VAT (10 – 50): <input type="checkbox"/>	£85 + VAT (51 – 250): <input type="checkbox"/>
£110 + VAT (251 – 1,000) <input type="checkbox"/>	£150 + VAT (1,001 – 5,000): <input type="checkbox"/>	£200 + VAT (5,001 – 10,000): <input type="checkbox"/>
£250 + VAT (Over 10,000) <input type="checkbox"/>		

For Purchase Orders (PO):	
Address POs to: Devon Partnership NHS Trust, Wonford House, Dryden Road, Exeter, EX2 5AF	
Purchase order:	

Devon Partnership NHS Trust will invoice the primary contact identified in section 3 by email. If you would rather we invoice someone else – i.e. a member of your finance team – please provide the relevant details below:

Contact Details for Invoicing:	
Name:	Staff Member or Team Name
Job Title:	
Email:	
Telephone:	

Thank you for completing your application to the Charter for Employers Positive about Mental Health!

Please return your completed form to us by email at: dpt.mindfulemployer@nhs.net

We look forward to having you with us!

Attendance Management Guidance

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Purpose

This guidance should be used in conjunction with the [Council's Attendance Management Policy and Procedure](#).

Reporting of Sickness Absence

It is essential that managers are familiar with the Council's procedure for reporting sickness absence and are clear about their responsibilities in ensuring that employees are aware of and comply with the procedure. It is recommended that new employees are informed of the procedure during induction training. A copy of the sickness absence reporting procedure is attached at [Appendix A](#).

Failure to Report an Absence

If the employee fails to report an absence in line with [Appendix A](#), then the employee will be deemed 'absent without authorisation'. The employee will not be paid for this period of absence. This should be confirmed in writing to the employee. A template letter is attached at [Appendix B](#).

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Recording and Monitoring of Employee Attendance

Effective record keeping is an essential management tool for monitoring employee absence. It provides important information to enable managers to:

- Assess levels of absence against key indicators;
- Manage sickness absence effectively and increase attendance levels by supporting employees to remain at or return to work;
- Identify problems so that they can be addressed at an early stage;
- Make informed decisions so that there is no disruption to service provision;
- Identify trends and any underlying issues which may need to be addressed on an individual and/or group level.

In all cases a [Self-Certification e-form](#) must be completed and submitted by the employee. A copy of the completed form will be sent to both the employee and the manager for their records.

Managers are responsible for inputting sickness absence directly into iTrent. This will provide them with access to real-time information regarding sickness levels in their area and thereby help them to identify at an early stage any trends that may need addressing or individual cases that should be managed under the [Attendance Management Policy and Procedure](#).

Managers should ensure that medical information about employees is treated in absolute confidence and only relevant information should be shared with colleagues on a strictly need to know basis only.

Other leave of absence (e.g. compassionate leave, unpaid leave, etc.) should be recorded separately. Managers will need to complete the appropriate e-form available on the intranet. Employees will need to record the absence on iTrent.

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Maintaining Contact during Employee Absence

Throughout any period of absence it is important to maintain regular contact with the employee in order to offer them appropriate support and assistance. The extent, frequency and method of this contact will need to be judged on a case by case basis.

Although communication is a two way responsibility between the manager and the employee, in some cases, because of the nature of the illness, it may be necessary to agree that contact with the employee will be made indirectly through a third party (e.g. Trade Union representative, partner, or close relative).

However it is managed, the important principle is that some reasonable level of contact with the employee is maintained whether this is by telephone, in person, e-mail, or letter. This will ensure that all parties are kept informed of progress regarding particular issues including a timescale for return. A brief record of the contact made should be kept.

Further information and advice on maintaining contact can also be found in below under Mental Illness Related Absence

Fit Notes

Employees must provide medical certificates if they are off sick for more than 7 calendar days in a row (including non-working days). This may be in the form of a GP's "Fit Note". The fit note will advise whether the employee is 'not fit for work' or 'may be fit for work'. Managers should ensure that a copy of the fit note and a summary of any related discussions are uploaded into the employee's record on i-Trent. The original copy of the fit note should be returned to the employee.

Not Fit For Work

This means that the employee should refrain from work of the kind associated with their job. If an employee requests to return to work before their 'not fit for work' note expires, manager should seek advice from HR Services before agreeing to the request.

May Be Fit For Work

This means that the employee may be able to undertake work of some kind. The Fit Note should advise on what support would be required to support the employee to return to work or to improve their attendance (e.g. amended duties or working hours, workplace adaptations etc.). Managers should meet with the employee as soon as possible to discuss the fit note recommendations and any other support that could be provided. If it is not possible to accommodate the advised measures, the employee should be classed as 'not fit for work'. In which case advice should be sought from HR.

A new fit note confirming this would not be required until the expiry of the current Fit Note.

Return to Work Meetings

The purpose of this discussion is to:

- Welcome the employee back to work;

- Ensure that the employee is fit to return;
- Discuss the reason for the absence;
- Address any problems that may be causing or contributing to the absence (e.g. workload, work relationships, etc.);
- Identify any support or assistance that could be provided;
- Agree return to work arrangements including work priorities;
- Brief the employee on anything that occurred during their absence;
- Discuss the employee's attendance record and alert them to any action that may need to follow this meeting (e.g. implement or update a [support plan](#), make a referral to [Occupational Health](#));
- Complete and sign off the [Return to Work e-form](#).

As the return to work meeting is part of normal day-to-day management, the employee does not have the right to be accompanied. In many cases the meeting may be as brief as a quick chat to ensure that the employee is fit to return to work and welcome them back.

Managers must complete a return to work interview with employees following every episode of absence. Return to work meetings should normally take place on the employee's first day back, regardless of the length of the absence. If the discussion takes place over the telephone, arrangements will need to be made for the employee to complete the relevant sections of the [Self-Certification e-form](#). If the employee's manager is absent on their return, responsibility for carrying out the return to work meeting should be passed to another manager.

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Support Mechanisms

Managers may wish to explore the following support mechanisms, depending on the nature of the case:

Amica Counselling and Psychological Support Service

Employees should be reminded about the availability of [AMICA](#) but they cannot be forced to make contact with them. The service can offer counselling support on a range of issues (e.g. financial worries, family concerns, work-related problems, etc.) and can also signpost employees to other specialist services.

Occupational Health Referral

Occupational Health should be seen as a preventive service with professional expertise to help managers and employees with interventions that may prevent an absence or speed up a recovery. A [referral](#) to Occupational Health can be made at any time. The employee does not need to be off sick or on long term absence. Often an early referral can provide both the manager and the employee with the necessary advice to provide any relevant support and to prevent a period of absence from occurring.

Health and Safety Workplace Risk Assessment

If the employee identifies work-related factors which they feel are contributing to their attendance level then it will be necessary to consider how to address these factors. It may be appropriate to undertake a risk assessment or make some adjustment to the employee's working environment. Health and Safety may be able to provide support and advice on

cases or a referral to Occupational Health may be considered. For further advice and information on conducting risk assessments please contact Health and Safety.

Supporting Employees with Stress and Mental Illness

Refer to the [Managers Guidance and Toolkit on Mental Health and Supporting Employees, on the HR A-Z](#). Consider whether it would be helpful to complete a stress risk assessment, which is attached as Appendix D or to provide the employee with a Wellness Support Plan which is attached to the mental health guidance document.

Reasonable Adjustments

Where the employee has a condition which may be considered a disability, managers have a duty to consider reasonable adjustments. This can include adjustments to the role and to the absence management process itself. Details of information on Access to Work are available in the [Supporting Disabled Employees Guidance](#). Further advice can also be obtained from HR Services.

Rehabilitation / Phased Return to Work

Consideration should be given as to whether a rehabilitation / phased return to work plan might be appropriate to support the employee. This could include a variety of interventions, for example:

- Job shadowing;
- Reduced hours - incrementally increasing over a period of time;
- Refresher training;
- Light duties.

As a guide, a rehabilitation / phased return to work plan would not run for longer than 6 weeks. During this period the employee will receive full pay. If, at the end of the 6 week period the employee has not returned to their substantive hours, the manager will need to consider next steps. This may include the employee temporarily reducing their contracted hours or extending their phased return for a short period by using annual leave to cover the shortfall in hours.

Reduction in Working Hours

In order to support the employee to either return to, or improve their attendance at work, it may be appropriate to consider a reduction in their working hours. This would need to be mutually agreed and can be on a temporary or permanent basis. A [variation to contract e-form](#) would need to be submitted so that the employee's contract of employment can be changed accordingly.

Redeployment

It may be appropriate to consider redeployment into an alternative vacant post, either on a permanent or temporary basis, to enable the employee to return to or remain at work. This should be undertaken in conjunction with the formal absence management procedure. Where it is agreed by both the manager and the employee that suitable alternative employment would be an option to resolve the situation, the employee will be given [Preferential Treatment Status](#) in accordance with the Redeployment Policy and put on the Council's Redeployment Register. If the employee is appointed to another post, it will be the pay and conditions of the new post which will apply. There will be no entitlement to pay

protection or additional travel expenses. Further information and advice is available from HR Services.

Consideration of Ill Health Retirement

Depending on the nature of their absence, the employee may be considering applying for ill health retirement. If so, advice can be sought by the employee, or by the manager on their behalf, from HR Services. Additional support may be available from the employee's Trade Union. In such cases, employees will need to be assessed by an Occupational Health Professional. A potential application on the grounds of ill health retirement should not necessarily delay the timing of any meetings.

Flexible Working

Flexible working would enable employees to adjust their working arrangements on a temporary basis where this can be accommodated by the service area. The service area may consider requests for flexible working, which may include an element of home working or a difference pattern of work.

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Employees with a Serious Medical Condition

The Council recognises that employees can develop serious medical conditions which can affect their attendance at work. Serious medical conditions can occur at any time and may be evidence through long term or short term frequent absences.

In these circumstances, managers should be sensitive and supportive to employees, working with HR to provide appropriate and reasonable supportive measures.

Managers should also give due consideration, taking into account advice received from Occupational Health, to when it is appropriate to adopt different stages within the policy. Where possible, solutions should be sought, which are beneficial to both the employee and the service.

If an employee is diagnosed as having a terminal illness, then managers should refer to the 'Dying to Work' charter which the Council has adopted.

Attendance Issues and Disability

When reviewing an employee's sickness record consideration should be given as to whether any or all of the absence is related to an employee's disability. Sickness absence which is disability-related should be clearly recorded as such on iTrent.

Where an employee has a disability the Council has a duty to make "reasonable adjustments" to both the workplace and/or working environment and to our policies and procedures to assist the employee in improving their attendance and not place them at a disadvantage. If at any stage a disability becomes apparent, reasonable adjustments must be considered. These could include:

- Flexible working arrangements;

- Specialist equipment (possibility of funding through Access to Work);
- Redeployment into an alternative role;
- Using discretion in relation to the 'indicators', to allow the employee more time off before proceeding to the next stage of the procedure (advice should be sought from Occupational Health on the likely level of absence);
- Allowing the employee to take [disability-related leave](#) for reasons connected with rehabilitation, assessment, treatment or servicing of necessary equipment or disability aids;
- Allowing a longer timescale for review of reasonable adjustments (e.g. modifications to working pattern or provision of special equipment);
- Allowing a longer period of time to seek redeployment;
- Amending the process to alleviate any other disadvantage.

It is difficult to specify the amount of variation required as each employee's disability is different. Advice should be obtained from HR Services and Occupational Health before reasonable adjustments are implemented.

Once agreed 'reasonable adjustments' should be progressed as soon as possible. They will usually be given at least 3 months or more to work and will be subject to regular monthly reviews. Dependent upon the circumstances, in some cases adjustments may need to be permanent.

Further information and advice on making reasonable adjustments can be found in the [Manager's Guide to Supporting Disabled Employees](#).

Managers should note that whilst an occupational health report can assist an employer in deciding whether or not an employee is disabled, it is the employer's responsibility to make the final decision as to whether the individual is covered by disability discrimination legislation. While it may be appropriate to ask Occupational Health for clarification as to whether or not the employee should be treated as disabled, it is also important to pose specific practical questions, as part of the referral, directed at the particular circumstances of the employee's condition. Where there is any doubt, consideration should be given to offering the employee appropriate reasonable adjustments. Further advice is available from HR Services.

Mental Illness Related Absence

More specific guidance regarding supporting employees who are experiencing mental ill health is available in the [Line Manager Guide and toolkit on Mental Ill Health and Supporting Employees](#).

Mental ill health may or may not constitute a disability, depending on the length or impact of the illness. However, managers should consider if some of the adjustments listed under 'Attendance Issues and Disability' above would be helpful in supporting the employee.

For the majority of people who experience mental distress, appropriate contact is essential to support them and manage their attendance. If there is little or no communication, misunderstanding and barriers can quickly arise. Moreover, the employee may feel that they are not valued or are not being supported by the organisation. This can exacerbate already low self-esteem and heighten worries such as job security. Occasionally

employees may ask managers not to contact them for a period of time, in which case the manager should consider one or more of the following:

- Seek advice from Occupational Health:
- Suggest maintaining contact through a 3rd party e.g. Trade Union for a short period:
- Consider alternative methods of communication with the employee, such as email, if telephone is not suitable:
- Be guided by the individual circumstances surrounding the absence and employee preferences where possible in order to maintain good relations. A person with a mental health condition is then much more likely to react positively to contact going forward:

When contact is established ask the following:

- Give the employee a chance to explain the problem and what is happening by asking open questions. Ask them how they are doing and focus conversations on their wellbeing:
- Ask if there is anything you or the organisation can do in terms of support e.g. the Occupational Health Service and Employee Wellbeing Counselling Service at this stage:
- Gauge whether they are receiving support already from their GP or other health care professional:
- Consider sending a "get-well" card:
- Reassure the individual about practical issues that they may raise e.g. how their jobs and responsibilities will be covered in the short term:
- Keep the individual in the loop about important developments at work so they feel connected:
- You should try to agree with the employee what they wish colleagues to be told. You should be honest and open with the team, being considerate not to breach any confidentiality with the employee concerned:

In addition, the manager should identify the working conditions that may negatively influence the wellbeing of the team. Create an environment where employees can air their concerns openly to avoid gossiping and any resentment towards the employee who is off work.

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Pregnancy-Related Absence

Under health and safety legislation, a workplace risk assessment must be carried out on all expectant mothers. If the duties of the job are likely to cause the employee harm, steps must be taken to remove or reduce the risk. Specifically, consideration should be given to:

- Adjusting the employee's working hours if she is a night worker and her medical practitioner certifies that it would be detrimental to her health to continue working nights;
- Removing the employee from any duties that might pose a risk to her health and safety;
- Transferring the employee to an alternative job on comparable terms and conditions;

- “Suspending” the employee from work on normal pay until the commencement of her maternity leave if no suitable alternative work is available or would not remove or reduce the risks to her.

Sickness absence which is pregnancy-related should be clearly recorded as such on iTrent. If the employee has a high level of absence related to this, managers should meet with her at the earliest opportunity to discuss what support could be provided to help improve her attendance. This may include reviewing and revising the pregnancy risk assessment and if necessary, seeking advice from [Occupational Health](#).

Sickness absence prior to the last 4 weeks before the expected week of child birth (EWC), supported by a fit note or self-certificate, shall be treated as sickness absence in accordance with normal sickness absence provisions, but will normally be disregarded for the purposes of invoking the formal stages of the process and for any future employment related decisions.

If the employee is absent due to a pregnancy-related illness during the 4 weeks up to her EWC, her maternity leave will normally commence on the day after the first day of absence. Odd days of pregnancy-related sickness during this period may be disregarded at the manager’s discretion if the employee requests to continue working until her planned maternity leave start date. When considering whether to allow this discretion, managers should ensure that they have considered the relevant risks (e.g. duration and reason for absence, advice from the individual’s GP / midwife, etc.).

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Annual Leave and Public Holidays

Annual leave will continue to accrue during sickness absence. Employees on long term sickness absence (i.e. over 4 weeks) will also accrue their public holiday entitlements.

Employees who return to work following a period of long term sickness may be entitled to carry over any outstanding annual leave entitlement into the next annual leave year. The amount of annual leave that the employee has accrued over the previous 18-month period will be taken into account when agreeing how much leave can be carried forward.

The actual amount of leave which may be carried forward will depend on the facts of each case. Managers will therefore need to provide HR Services with details of the:

- Employee’s annual leave entitlement over the last 2 years;
- Amount of employee’s annual leave at start of each leave year (including any carried forward from previous leave year);
- Amount of annual leave booked in the last 2 leave years (including any booked but not taken owing to sickness);
- Amount of annual leave taken in the last 2 leave years;
- Dates of sickness absence(s) - from and to;
- Any individual circumstances (e.g. if the employee has requested leave but has not been allowed to take it).

Any accrued leave carried forward is to be taken during the new leave year. As a general rule, employees will not be permitted to carry leave forward again (excluding standard carry forward arrangements).

Employees are entitled to book and take annual leave during a period of long term sickness absence and should be encouraged to do so. This may be of particular benefit to the employee if they are in receipt of half-pay or no-pay.

If an employee falls ill whilst on annual leave, this will be treated as sickness absence and their annual leave refunded providing that the individual:

- Follows correct sickness absence reporting procedures; and
- Provides a medical certificate to cover their absence.

Employees who resign or are dismissed following long term sickness absence are entitled to be paid for any outstanding leave. Managers should contact HR Services for specific advice in these circumstances.

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Escalation to Stage 4

In most cases, there will be four stages to the attendance management process. However, there may be occasions in cases of long term sickness absence where the medical reports indicate that a return to work is not possible within a reasonable time period. In these circumstances the manager must ensure that all avenues of [support](#) such as [ill health retirement](#) and [redeployment](#) have been exhausted as applicable, but may proceed to [Stage 4](#) of the attendance management process without completing all and/or any of the other three stages. Where the manager wishes to progress to Stage 4 before the preliminary action stage has been completed, this must be agreed by the employee. The employee should ensure they are in receipt of all appropriate information before making this decision. Advice must be sought from HR Services before escalating to Stage 4.

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Stage 1 - Preliminary Action

It is acknowledged that, at times, employees need to take time off work due to personal illness or injury. The Council provides appropriate paid (or in some instances unpaid) leave in such circumstances and expects its employees to respond by ensuring they take reasonable care of their health and attend work unless they are unable to do so.

Where an employee's attendance level requires further attention/investigation, they should be advised that a meeting will be arranged to review their absence record and if appropriate, put in place a support plan and review period. Appropriate and reasonable support and assistance should be provided to improve employee's attendance. The employee should be provided with a copy of the [Attendance Management Policy and Procedure](#).

It is not usual practice for an employee to be accompanied at this stage. However, if the manager or employee feels that it would be appropriate, the employee may be accompanied by a work colleague or Trade Union representative.

At the meeting the manager should:

- Provide the employee with a summary of their absence record, highlighting any significant patterns or characteristics. The return to work meeting notes included on the [Return to Work e-form](#) can be used as a prompt to cover all of the points that need to be discussed;
- Identify the level of attendance which is not being met;
- Ask the employee to give their explanation as to why their current attendance is not meeting expectations and explore any factors that may be having an impact (e.g. domestic circumstances, underlying health problem, etc.);
- Explore what support or assistance can be provided to ensure that the employee is able to maintain an acceptable attendance record;
- Discuss the contents / recommendations of the [Occupational Health](#) report (if applicable);
- Agree how the employee's attendance record might be improved, which could include actions by either or both parties;
- If relevant, draw up a written support plan identifying [support mechanisms](#), the level of improvement required and the timescale for achievement (4-8 weeks);
- Agree the date and time for the review meeting which will be held at the end of the support plan period. Managers are also recommended to hold at least one mid-point review meeting. The date and time of this meeting should also be agreed with the employee;
- Inform the employee that failure to improve to the required attendance level within the agreed timescale could result in them progressing to [Stage 2 \(Formal Action\)](#) of the [Attendance Management Policy and Procedure](#).

There may be occasions where managers feel that a support plan and review period is not necessary (e.g. where absences are [pregnancy-related](#)). In such circumstances managers are advised to discuss the case with HR Services prior to informing the employee.

The Support Plan

Appropriate and reasonable support and assistance should be provided to improve employee's attendance. The contents of the support plan should:

- Seek to address the areas of concern;
- Detail the expected level of attendance;
- Identify [support mechanisms](#);
- Specify the timescales for monitoring and review.

An example of a completed support plan can be found at [Appendix C](#). A copy of the agreed support plan should be provided to the employee following the meeting.

At the end of the support plan review period, the manager should meet with the employee and confirm whether or not they have met the required standard of attendance. If the employee has made sufficient improvement, the attendance management procedure will cease. Failure to sustain this improvement for a period of 4 months may result in the employee being progressed to [Stage 2 \(Formal Action\)](#) of the attendance management procedure.

If there are still concerns at the end of the review period, the manager may advise the employee that they will now be managed under [Stage 2 \(Formal Action\)](#) of the attendance management procedure and that a further meeting will be arranged to discuss their attendance.

Brief notes of all meetings should be taken to record what has been discussed and a copy provided to the employee for their agreement.

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Stage 2 - Formal Action

If there are still concerns about the employee's level of attendance at the end of the Stage 1 review period or the employee has not sustained their improved attendance for the required 4 month period, the manager should invite the employee to attend a Formal Attendance Management Meeting.

Formal Attendance Management Meeting

The purpose of this meeting is to discuss the concerns regarding the employee's attendance level and to consider ways in which this could be improved. Notes should be taken at the meeting.

The meeting will usually be held by the employee's manager and the employee should be informed in writing of the requirement to attend giving at least 10 working days notice. The employee has the right to be accompanied by a work colleague or Trade Union representative.

The invite letter must include details of the concerns and confirm the record of monitoring / progress to date. A copy of the support plan agreed previously during Stage 1 of the procedure should also be included. A template invite letter is attached at [Appendix D](#).

At the meeting the manager should include in the discussion the following:

- Identify the level of attendance which is not being met (making reference to the outcome of the [Stage 1](#) support plan and review period);
- Ask the employee to give their explanation as to any reasons why their current attendance is not meeting expectations and explore any factors that may be having an impact (e.g. domestic circumstances, underlying health problem, etc.);
- Explore what support or assistance can be provided to ensure that the employee is able to maintain an acceptable attendance record;

- Discuss the contents / recommendations of the [Occupational Health](#) report (if applicable);
- Agree how the employee's attendance record might be improved, which could include actions by either or both parties;
- Draw up a written support plan which identifies any [support mechanisms](#), the level of improvement required and the timescale for achievement (4-8 weeks);
- Agree the date and time for the [review meeting](#) which will be held at the end of the support plan period. Managers are also recommended to hold at least one mid-point review meeting. The date and time of this meeting should also be agreed with the employee;
- Inform the employee that failure to improve to the required attendance level within the agreed timescale could result in a [Stage 3 Attendance Management Hearing](#) being arranged at which they could be issued with a final written warning.
- If applicable, consider immediate [escalation](#) to a Stage 4 Attendance Management Hearing (see above).

Following the meeting, the employee should be provided with a copy of the agreed support plan and notes of the meeting.

The Support Plan

Details of what should be included in the support plan can be found in the [Preliminary Action](#) section of this guidance. An example of a completed support plan is attached at [Appendix C](#). If an Occupational Health referral has not already been arranged then managers are advised to complete one as part of the support plan at this stage.

Review Meeting

A review meeting should be held at the end of the support plan period. The purpose of this meeting is to review the contents of the plan and to assess whether there has been an improvement in the employee's attendance. The employee has the right to be accompanied by a work colleague or Trade Union representative. Notes should be taken at the meeting.

The potential outcomes of the review meeting are:

- If the employee has made sufficient improvement, the attendance management procedure will cease. However, if the improvement is not sustained for 9 months from the end of the review period then the manager may recommence at [Stage 3 \(Final Action\)](#) of the procedure.
- If some improvement has been made and further progress is likely, it may be appropriate to extend the review period by 4-6 weeks. In the majority of cases it will be appropriate to extend the review period just once during the attendance management procedure.
- If no, or insufficient improvement has been made, the employee will be advised that a [Stage 3 Attendance Management Hearing](#) will be arranged at which the employee

could be issued with a Final Written Warning. In the case of long term sickness absence, if medical reports indicate that a return to work is not possible within a reasonable timescale and all other avenues of support have been exhausted then a [Stage 4 Attendance Management Hearing](#) will be arranged with the agreement of the employee, a potential outcome of which could be dismissal. Please see the section on [Escalation to Stage 4](#) for more information.

The employee should receive written confirmation of the outcome of the meeting and a copy of the notes. A template letter is attached at [Appendix E](#).

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Stage 3 - Final Action

If the employee fails to make sufficient improvement by the end of the Stage 2 support plan review period or has not sustained their improved attendance for the required 9 month period then an Attendance Management Hearing will be convened to consider the case.

Attendance Management Hearing

The manager will be responsible for arranging a panel, chaired by a Senior Manager (PO Grade or above), supported by a further Senior Manager and a representative from HR Services, who will act as panel members. All of the panel should have had no prior involvement in the employee's case. The manager should also arrange a note-taker.

Documentation

The manager will write to the employee to notify them of the details of the hearing (date, time, venue, etc.) giving them a minimum of 10 working days notice. A template letter is attached at [Appendix F](#). Whenever possible the date should be arranged in consultation with the employee and their representative.

A copy of any paperwork / evidence folder which the manager intends to refer to at the hearing must also be enclosed. This could include:

- Brief details of the employee's role and their employment with the Council (include a copy of the employee's job description);
- Details of the employee's attendance record (including the number of days lost, dates and reasons for absence);
- How the employee's absence compares with others;
- Copies of self-certification forms (including notes from return to work meetings);
- Notes of meetings;
- Letters confirming the outcome of meetings;
- Copies of support plans;
- Copies of Occupational Health reports;
- Copies of fit notes / medical documents.

An example hearing folder contents list can be found at [Appendix G](#). Further information on preparing for the hearing can be found in the [Hearing Preparation Guide](#).

The employee must be informed of their right to be accompanied by a work colleague or Trade Union representative and that a potential outcome of the hearing is a final written warning.

The letter to the employee must also request that if they intend to refer to any documentation at the hearing, a copy of this must be sent to the Chair of the panel at least 5 working days before the date of the hearing along with the names of any witnesses they wish to call.

Witnesses

It is the responsibility of the manager to ensure that they invite any witnesses (if required) to attend the hearing. Likewise, it is the employee's responsibility to ensure that they invite any witnesses (if required) to support their case at the hearing. Please note that the employee's Trade Union representative / work colleague can act on behalf of the employee to arrange their attendance at the hearing if permission from the employee has been granted.

Witnesses should only be present at the hearing whilst questions are being asked of them by the employee, their representative, management representative and panel members.

Release of Witnesses

Employees who are required to attend an attendance management hearing as a witness **must** be released from duty unless this would have a significant impact on service delivery. Advice should be sought from HR Services before declining such a request.

Failure to Attend

It is important that the employee is made aware that if they fail to attend on a given (or rearranged) date without an acceptable reason, the hearing may go ahead in their absence.

Conduct of the Hearing

1. The Chair of the panel will introduce those present and outline the procedure to be followed. An employee who is not accompanied will be reminded of their right to representation by a work colleague or Trade Union representative.
2. The manager presenting the case (i.e. the Presenting Officer) will outline their case. They should refer to documents circulated beforehand to evidence their views.
3. The employee and/or their representative may question the Presenting Officer.
4. The panel may question the Presenting Officer.
5. If applicable, the Presenting Officer will invite management's witnesses (one by one) to the hearing. Each witness will be questioned initially by the Presenting Officer, then the employee and/or their representative may question the witness followed by questions from the panel.
6. The employee and/or their representative will outline their case. They may refer to documents circulated beforehand.
7. The Presenting Officer may question the employee and their representative.

8. The panel may question the employee and their representative.
9. If applicable, the employee or their representative will invite the employee's witnesses (one by one) to the hearing. Each witness will be questioned initially by the employee and/or their representative, then the Presenting Officer may question the witness followed by questions from the panel.
10. The Presenting Officer may make brief concluding remarks.
11. The employee and/or their representative may make brief concluding remarks.
12. The Presenting Officer, the employee, their representative and the note taker will leave the room.
13. Having deliberated on the matters placed before them, the panel will reach their decision and then recall and advise those attending the hearing of the outcome.

Potential Outcomes

The panel may find that:

- The employee's level of attendance is acceptable. The attendance management procedure will therefore cease. However, if the improvement is not sustained for 12 months from the end of the review period then the manager may recommence at [Stage 4](#) of the attendance management procedure;
- It is appropriate to issue the employee with an extension (4-6 weeks) to the review period of the support plan agreed during [Stage 2](#). This should only be considered if an extension has not previously been given during the attendance management procedure or in exceptional circumstances. The panel will reconvene at the end of the extension period;
- The employee's level of attendance is not acceptable. If the panel are satisfied that the employee has been unable to improve their attendance to the required standard, they will issue the employee with a final written warning. Within 7 days of the hearing, the manager should meet with the employee to agree a further [support plan](#) and review period. A date and time should also be agreed for the final (and any mid-point) review meeting. The panel may wish to make recommendations at the hearing regarding the contents or duration of the support plan.

Notification of the Outcome

The employee should receive written confirmation of the outcome of the hearing including details of their right to appeal against the decision. A template letter is attached at [Appendix H](#).

If the employee has been issued with a final written warning, a copy should be sent with the outcome letter. A copy of the notes from the hearing should also be provided.

Final Written Warning

Where an employee has received a final written warning, this will remain on their file for 12 months. The employee should also be informed that failure to achieve an acceptable level

of attendance by the end of the support plan review period may result in a [Stage 4 Attendance Management Hearing](#) being arranged at which they could be dismissed.

The Support Plan

Details of what should be included in the support plan can be found in the [Preliminary Action](#) section of this guidance. An example of a completed support plan can be found at [Appendix C](#).

Right of Appeal

Details of the employee's right of appeal are contained in the [Attendance Management Policy and Procedure](#). Template letters for inviting an employee to an appeal hearing and confirming the outcome are attached at [Appendix I](#) and [Appendix J](#).

Review Meeting

A review meeting should be held at the end of the support plan period. The purpose of this meeting is to review the contents of the plan issued following the Stage 3 Attendance Management Hearing and to assess whether there has been an improvement in the employee's attendance. The employee has the right to be accompanied by a work colleague or Trade Union representative. Notes should be taken at the meeting.

The potential outcomes of the review meeting are:

- If the employee has made sufficient improvement, the attendance management procedure will cease. However, if the improvement is not sustained for 12 months from the end of the review period then the manager may recommence at [Stage 4](#) of the procedure;
- If some improvement has been made and further progress is likely, it may be appropriate to extend the review period by 4-6 weeks. This should only be considered if an extension has not previously been given during the attendance management procedure.
- If no, or insufficient improvement has been made, the employee will be advised that a [Stage 4 Attendance Management Hearing](#) will be arranged at which the employee could be dismissed.

The employee should receive written confirmation of the outcome of the meeting and a copy of the notes. A template letter is attached at [Appendix K](#).

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Stage 4 - Attendance Management Hearing

If the employee fails to make sufficient improvement by the end of the Stage 3 support plan review period or has not sustained this improvement for the required 12 month period then an Attendance Management Hearing will be convened to consider the case.

The manager will be responsible for arranging a panel, chaired by a Senior Manager (PO Grade or above), supported by a further Senior Manager and a representative from HR Services, who will act as panel members. All of the panel should have had no prior involvement in the employee's case. The manager should also arrange a note-taker.

If a hearing has already been held under Stage 3 of the procedure then, where possible, the same panel should be used for this hearing. The manager should also arrange a note-taker.

Documentation

The manager will write to the employee to notify them of the details of the hearing (date, time, venue, etc.) giving them a minimum of 10 working days notice. A template letter is attached at [Appendix L](#). Whenever possible the date should be arranged in consultation with the employee and their representative.

A copy of any paperwork / evidence folder which the manager intends to refer to at the hearing must also be enclosed. This could include:

- Brief details of the employee's role and their employment with the Council (include a copy of the employee's job description);
- Details of the employee's attendance record (including the number of days lost, dates and reasons for absence);
- How the employee's absence compares with other relevant team members;
- Copies of self-certification forms (including notes from return to work meetings);
- Notes of meetings;
- Letters confirming the outcome of meetings;
- Copies of support plans;
- Copies of Occupational Health reports;
- Copies of fit notes / medical documents;
- Copy of Final Written Warning (if applicable).

An example attendance management hearing folder contents list can be found at [Appendix G](#). Further information on preparing for the hearing can be found in the [Hearing Preparation Guide](#).

The employee must be informed of their right to be accompanied by a work colleague or Trade Union representative and that a potential outcome of the hearing is dismissal.

The letter to the employee must also request that if they intend to refer to any documentation at the hearing, a copy of this must be sent to the Chair of the panel at least 5 working days before the date of the hearing along with the names of any witnesses they wish to call.

Witnesses

It is the responsibility of the manager to ensure that they invite any witnesses (if required) to attend the hearing. Likewise, it is the employee's responsibility to ensure that they invite any witnesses (if required) to support their case at the hearing. Please note that the employee's Trade Union representative / work colleague can act on behalf of the employee to arrange their attendance at the hearing if permission from the employee has been granted.

Witnesses should only be present at the hearing whilst questions are being asked of them by the employee, their representative, manager and panel members.

Release of Witnesses

Employees who are required to attend an attendance management hearing as a witness **must** be released from duty unless this would have a significant impact on service delivery. Advice should be sought from HR Services before declining such a request.

Failure to Attend

It is important that the employee is made aware that if they fail to attend on a given (or rearranged) date without an acceptable reason, the hearing may go ahead in their absence.

Conduct of the Hearing

1. The Chair of the Panel will introduce those present and outline the procedure to be followed. An employee who is not accompanied will be reminded of their right to representation by a work colleague or Trade Union representative.
2. The manager presenting the case (i.e. the Presenting Officer) will outline their case (i.e. the reasons for considering the termination of the individual's employment). They should refer to documents circulated beforehand to evidence their views.
3. The employee and/or their representative may question the Presenting Officer.
4. The panel may question the Presenting Officer.
5. If applicable, the Presenting Officer will invite management's witnesses (one by one) to the hearing. Each witness will be questioned initially by the Presenting Officer, then the employee and / or their representative may question the witness followed by questions from the panel.
6. The employee and/or their representative will outline their case (i.e. the reasons for considering the continuation of the individual's employment). They may refer to documents circulated beforehand.
7. The Presenting Officer may question the employee and their representative.
8. The panel may question the employee and their representative.
9. If applicable, the employee or their representative will invite the employee's witnesses (one by one) to the hearing. Each witness will be questioned initially by the employee and / or their representative, then the Presenting Officer may question the witness followed by questions from the panel.
10. The Presenting Officer may make brief concluding remarks.
11. The employee and/or their representative may make brief concluding remarks.
12. The Presenting Officer, the employee, their representative and the note taker will leave the room.
13. Having deliberated on the matters placed before them, the panel will reach their decision and then recall and advise those attending the hearing of the outcome. Before

deciding whether or not an employee's contract of employment should be terminated, the panel will satisfy themselves that every effort has been made by both the manager and the employee to make viable alterations to the working arrangements of the employee concerned (including redeployment). If the employee has a disability then the panel will satisfy themselves that all reasonable adjustments have been identified and considered.

Potential Outcomes

The panel may find that:

- The employee's level of attendance is acceptable. The attendance management procedure will therefore cease. However, if the improvement is not sustained for 12 months from the end of the review period then the manager may recommence at [Stage 4](#) of the attendance management procedure;
- It is appropriate to issue the employee with an extension (4-6 weeks) to the review period of the support plan agreed during [Stage 3](#). This should only be considered if an extension has not previously been given during the attendance management procedure. The panel will reconvene at the end of the extension period;
- The employee's level of attendance is not acceptable. If the panel is satisfied that the employee has been unable to improve their attendance to the required standard, having considered mitigation, including any reasons for the failure to reach the required standard, they will dismiss the employee with notice.

Notification of the Outcome

The employee should receive written confirmation of the outcome of the hearing including details of their right to appeal against the decision. A template letter is attached at [Appendix M](#). If the employee has been dismissed, the letter should include the reason for the dismissal and the employee's termination date. A copy of the notes from the hearing should also be provided.

Right of Appeal

Details of the employee's right of appeal are contained in the [Attendance Management Policy and Procedure](#). Template letters for inviting an employee to an appeal hearing and confirming the outcome are attached at [Appendix I](#) and [Appendix J](#).

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Sick Pay

The period during which sick pay will be paid and the rate payable for any period of absence is calculated by deducting from the employee's entitlement on the first day of absence the total periods of sickness absence during the previous 12 months.

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Next of Kin

If the employee is too unwell to engage in communication then it may be necessary for the manager to communicate and manage the sickness absence through next of kin / power of

attorney. In these circumstances, the employee should be asked to confirm their permission in writing, where possible.

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Complaints Raised During the Attendance Management Process

The Council's [Grievance Policy](#) or [Dignity at Work Policy](#) should not be used for appeals against attendance management decisions or the process itself. These should be dealt with as part of the appeal under the [Appeal Policy and Procedure](#).

If, however, the employee has a complaint against the manager during the course of an attendance management case, they may raise this using either the Council's Grievance Policy or Dignity at Work Policy as appropriate. The attendance management procedure will not cease, but if required, another manager will be brought in to deal with this case.

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Links to the Disciplinary Policy and Procedure

Where absence patterns emerge, or where it is believed that absences are not attributable to genuine sickness, this will be investigated through the [Disciplinary Policy and Procedure](#).

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Appendix A - Sickness Absence Reporting and Certification

First Day

You must telephone your manager at a time you would normally expect them to be available. If your manager is not available, speak to the most senior person available. You should not, unless there is no alternative, leave a message on an answering machine or with another colleague or send an email or a text message. However, if there is no alternative, leave your telephone number with the person you speak to so that your manager can contact you as soon as possible.

In some cases specific arrangements need to be made locally to take account of circumstances such as the need to ring as early as possible so that cover can be arranged. **Your manager will let you know the arrangements that apply to you.**

When you telephone your manager will ask:

- What date you were first unfit for work (this may be a non working day);
- The reason for your absence.

If appropriate they may also ask whether your absence is due to:

- A hospital/medical appointment;
- Disability related absence;
- An accident at work;
- An accident involving a third party (e.g. road accident).

Managers should agree with employees how often they are to make contact if the absence is likely to continue beyond one day. This will usually be on a daily basis so that cover arrangements can be made however the minimum arrangements detailed below should be followed.

If your absence continues

On Day 4* you must telephone your manager again. This is so that your manager can assess the need for cover or to reallocate your work if necessary.

On Day 8* you must obtain a fit note, telephone your manager to let them know how long you have been signed off work for and post the note to your manager as soon as possible.

*Non working days count e.g. for a Monday-Friday worker absent from Friday, Day 4 is Monday and Day 8 is Friday.

If your absence is long enough to require another fit note you must keep your manager informed so that cover and work reallocation arrangements can continue.

When you return to work

A [Self-Certification e-form](#) must be completed and submitted by the employee.

Sickness Absence during Annual Leave

Part 3 of the Green Book provides that employees on annual leave will be regarded as being on sick leave if they have a doctor's certificate to cover that illness. Therefore, to reclaim full contractual annual leave, a doctor's certificate is required as proof of illness.

Appendix B - Absence without Authorisation Letter

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

You have been absent from work without authorisation since [date of absence] and I am growing increasingly concerned for your wellbeing as you have failed to make any contact during this period.

In line with the Attendance Management Policy and Procedure, I have instructed Payroll to stop your pay from the start date of your absence until I receive notification of your wellbeing. This period of absence will be classified as 'Absence without Authorisation'.

Please contact me on [telephone number] upon receipt of this letter to advise me of your current situation.

Yours sincerely,

[Name of manager]

[Job Title]

Appendix C - Example Support Plan

SUPPORT PLAN: ATTENDANCE

DATE OF PLAN: 30th April - 25th June 2014

Employee:	Mary Roberts	Manager:	Ken Smith
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Areas of Concern	What needs to be achieved	How this will be achieved	Who is responsible	Timescales
Continued long term absence from work (absent since 31 January 2014).	Return to work within support plan timeframe (on therapeutic or substantive hours). On going reduction in absences.	Mary to attend work as required.	Mary	8 weeks and ongoing
	To consider if any adjustments are required to support Mary's return, either in working hours or duties.	Referral to be made to Occupational Health.	Ken	8 weeks and ongoing
Mary has said that she is still suffering from low mood, has trouble sleeping and interacting on a daily basis.	Mary to contact her GP to seek advice as necessary and to keep Ken informed of any medical issues that he needs to be aware of.	Mary to update Ken following her GP appointment next week.	Mary	8 weeks and ongoing
	To consider a self referral to the Wellbeing Service.	Mary to contact the Wellbeing Service as required.	Mary	8 weeks and ongoing
Maintain contact during Mary's absence	Ensure that regular contact is maintained throughout Mary's absence from work.	Ken to contact Mary on a weekly basis by phone. Mary to contact Ken as	Ken / Mary	8 weeks

		necessary to update him on progress.		
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I agree that I will commence this plan with effect from [date] and I understand that failure to achieve the required level of improvement will result in me progressing to Stage [number] of the Attendance Management Policy and Procedure.

I also understand that, should I achieve the required level of attendance and therefore formal procedures will cease, failure to maintain this improvement for [4/9/12] months may result in formal procedures recommencing at Stage [number].

It is acknowledged that during the course of this support plan under stage [number] of the Attendance Management Policy and Procedure you may be unable to return to work. However as your employer we reserve the right to manage your attendance and progress your case to the next stage of the procedure if you have not returned to work. This support plan is also in place to provide you with support during your absence from work.

Any further support identified:

Review dates: [enter date(s) of mid-review meeting(s)]

Mid Point Review Meeting: 28th May 2014
 Final Review Meeting Date: 27th June 2014

If you do not return a signed copy of this plan within 7 days it will be assumed that you are in agreement with its contents.

Signed: Employee: _____ Manager: _____
 Ken Smith Mary Roberts

Appendix D – Stress Risk Assessment Template

The questions are based on the HSE Management Standards and look at the key areas of work that contribute to and can help reduce work related stress. The questions are part of supportive process to assist managers in the: Identification of hazards, deciding who might be affected; evaluating the risks and frequency and recording your findings and proposed actions. This process can also be used to assist in the identification of individual stress management measures.

Employee Overview

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Question	Yes	No	Possible Actions	Agreed Action/s
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<p>1 Role Definition:</p> <ul style="list-style-type: none"> • Is role clearly defined. • Are duties and responsibilities clear • Is it clear how to perform role. • Is role clearly linked to goals and objectives for the department 			<ul style="list-style-type: none"> • Ensure expected duties and responsibilities are not excessive and demands not unreasonable • Clarify goals, objectives and success criteria for the job/role - ensuring no ambiguity • Give regular clear feedback on performance 	
<p>2 Control:</p> <ul style="list-style-type: none"> • Do individuals have a say in how to do and plan their work • Can employee set own work speed • Can employee decide when to take a break. 			<ul style="list-style-type: none"> • Where practicable, enable staff to exert autonomy within role • Encourage delegation and empowerment of others • Encourage training to support delegation (to individual and team) 	
<p>3 Work Pressures – High:</p> <ul style="list-style-type: none"> • Are unrealistic deadlines set • Is employee required to work long hours. • Is employee given work from different commissioning groups with conflicting priorities. 			<ul style="list-style-type: none"> • Offer support in prioritising tasks and cut out unnecessary work and bureaucracy • Try to give warning of urgent jobs • Assist in the scheduling of work to ensure adequate and appropriate resources • Ensure job demands are matched in terms of quantity, complexity and intensity to individuals skills and abilities • Support staff when undertaking new and unfamiliar tasks • Meet regularly to review workload • Avoid encouraging staff to work long hours, take work home or build excessive flexi. • Encourage staff to take annual 	

			leave allowance	
4 Work Pressures – Low: <ul style="list-style-type: none"> Is the work boring, monotonous or unchallenging 			<ul style="list-style-type: none"> Where reasonably practicable, rotate boring and repetitive jobs Where possible increase the variety of tasks – through projects, shadowing etc 	
5 Relationships at Work: <ul style="list-style-type: none"> Is employee subject to personal harassment – verbal and/or behaviour? Are relationships at work strained? Is there a high probability of friction and anger between colleagues? Is bullying an issue? 			<ul style="list-style-type: none"> Encourage team working Encourage team members to give open and honest feedback to each other Demonstrate and encourage appreciation of others Promote an atmosphere of mutual respect Ensure all staff are aware that inappropriate behaviour at work will not be tolerated. Refer to the Dignity at Work Policy and attend the training to support this policy Seek the support of HR if an allegation of harassment or bullying is made 	
6 Support: <ul style="list-style-type: none"> If work demands increase or are outside an individuals' ability to cope are colleagues/manager available to help and support. Is employee given the opportunity of supportive feedback on the work they do 			<ul style="list-style-type: none"> Explain how to raise concerns and call on support Attend a Stress Management Workshop Encourage/enhance team working /support. Discuss workflow and support mechanisms at regular team meetings Encourage open communication with colleagues and line management. 	
7 Change: <ul style="list-style-type: none"> Are employees consulted / updated about changes 			<ul style="list-style-type: none"> Ensure clear and appropriate communication on proposed changes 	

<ul style="list-style-type: none"> at work that affect them • Are employees clear about how change will affect them in practice. • Is there adequate consultation about workplace issues / changes 			<ul style="list-style-type: none"> • Ensure individuals understand the reasons for change and the likely timescales • Ensure adequate consultation wherever possible and provide opportunities for comment and input. • Give support to individuals during the change process 	
<p>8 Training:</p> <ul style="list-style-type: none"> • Is additional training required to support individuals in undertaking job/role 			<ul style="list-style-type: none"> • Provide training as required • Ensure PDRs are properly conducted and followed up. • Ensure changes to role are supported with relevant training as necessary. 	
<p>9 Physical Demands and Work Environment</p> <ul style="list-style-type: none"> • Does role involve excessive physical demands such as heavy lifting, standing for long periods of time, repetitive movements, hand held vibration tools etc • Is the work environment adequate / comfortable – Temp/humidity, lighting, noise, welfare facilities etc • Is there a risk to physical safety and emotional/mental wellbeing from service users, members of the public etc • Is there a risk to physical safety and emotional/mental 			<ul style="list-style-type: none"> • Undertake a H&S Risk Assessment • Remove excessive and unreasonable demands • Check what Health Surveillance support can be provided by Occupational Health • Encourage suggestions on how to improve work environment – and give these due consideration. • Undertake an H and S risk assessment to manage potential risk from service users and/or public. • Undertake an H and S risk assessment if employee is a lone worker. 	

wellbeing due to lone working				
10 Other Issues: <ul style="list-style-type: none"> • Are there any other issues / stressors that need to be taken account of – e.g. difficulties at home, unexpected life changes, traumatic incidents, etc • Are there any ongoing/long term physical or mental health conditions that may be a contributing factor • Has GP/Occupational Health identified any issues for consideration 			<ul style="list-style-type: none"> • Support individuals where possible • Offer to support them through referring to Welfare Adviser/Counsellor. • Seek advice from HR on supporting employees with long term health conditions • Seek advice from Occupational Health on any identified medical issues for consideration 	

*The Possible Action/s column details some suggestions for consideration / action. This list is not exhaustive.

*The Action/s column should include details of what the issues are, what measures are currently in place, what improvements can be made and what actions will be taken to make the improvements.

Date for review.....

Appendix E - Invitation to Formal Attendance Management Meeting (Stage 2)

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

At our meeting on [date], under Stage 1 of the Attendance Management Policy and Procedure, I advised you that as I have ongoing concerns regarding your level of attendance it is now necessary to manage you under Stage 2 of the procedure. I would therefore like to invite you to attend a Formal Attendance Management Meeting at [time] on [date] in [location].

The purpose of this meeting is to discuss the following concerns that I have regarding your attendance and to consider ways in which this could be improved:

[List areas of concern]

At the meeting, you will have the opportunity to provide an explanation as to why your attendance is not meeting expectations. If you wish, you may be accompanied by a work colleague or Trade Union representative.

To date you have been issued with a [number] week support plan, a copy of which I have enclosed for your information. During the meeting we will review the contents of this plan and draw up a new plan identifying possible support mechanisms, the level of improvement required and the timescale in which this should be achieved.

At the end of the support plan period, a review meeting will be held. There are three potential outcomes of this meeting:

- If sufficient improvement has been made, the attendance management procedure will cease. Failure to sustain this improvement for 9 months from the end of the review period may result in the attendance management process recommencing at Stage 3 (Formal Action);
- If some improvement has been made and further progress is likely, it may be appropriate to extend the review period;
- If no, or insufficient improvement has been made, a Stage 3 Attendance Management Hearing will be arranged at which you could be issued with a Final Written Warning. Please note that in the case of long term sickness absence, if medical reports indicate that a return to work is not possible within a reasonable timescale and all other avenues of support have been

exhausted then a Stage 4 Attendance Management Hearing will be arranged, a potential outcome of which could be dismissal.

A copy of the Attendance Management Policy and Procedure is enclosed for your information.

If you, or your representative, require any special arrangements in order to attend the meeting on [date], please let me know as soon as possible so that I can facilitate these for you.

Please do not hesitate to contact me on [telephone number] if you have any questions regarding the contents of this letter.

Yours sincerely,

[Name of manager]
[Job Title]

Appendix F - Outcome of Stage 2 (Formal Action)

NB: If the employee has failed their support plan please use Appendix F to confirm the outcome and invite them to attend a Stage 3 Attendance Management Hearing

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

I am writing to confirm the outcome of the review meeting held on [date] under Stage 2 of the Attendance Management Policy and Procedure.

The purpose of this meeting was to review your progress against the contents of the support plan which was agreed at the Formal Attendance Management Meeting on [date].

[Delete options below as appropriate]

Option One

As I advised at the meeting, I am pleased to be able to confirm that you have achieved the required level of improvement in your attendance. The attendance management procedure will therefore cease.

I hope that you will continue to maintain this improvement. As discussed at the review meeting, if you fail to sustain this improvement for a 9 month period from the end of the review period then it may be necessary to recommence managing your attendance at Stage 3 of the Attendance Management Policy and Procedure.

Option Two

As I advised at the meeting, I am pleased to be able to confirm that you have made some improvement towards achieving the required level of attendance. We therefore agreed that we would extend your support plan by [number] weeks. The review period will therefore now end on [date].

As agreed at the meeting, we will hold a further review meeting on [date] at [time] in [location].

Please find enclosed a copy of the notes taken at the meeting for your information. If you have any questions regarding the contents of this letter, please do not hesitate to contact me on [telephone number].

Yours sincerely,

[Name of manager]
[Job Title]

Appendix G - Invitation to Attendance Management Hearing (Stage 3)

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

I am writing to confirm the outcome of the review meeting held on [date] under Stage 2 of the Attendance Management Policy and Procedure. The purpose of this meeting was to review your progress against the contents of the support plan which was agreed at the Formal Attendance Management Meeting on [date].

As I advised at the meeting, you have failed to achieve the required level of improvement in your attendance. It is therefore now necessary to convene an Attendance Management Hearing.

The hearing will take place at [time] on [date] in [location] and will be heard by [name, job title], and [name, job title]. Also present will be [name] to take notes. On arrival you should report to [location] and ask for [name].

I will present the management case at the hearing and enclosed is a copy of the documents that I will refer to. During the course of the hearing you will have the right to hear and question the evidence presented. You will also have the opportunity to present your case and may, if you wish, be accompanied by a work colleague or Trade Union representative.

The purpose of the hearing is to consider the steps taken to improve your attendance and your progress against the support plans put in place previously.

If the panel is satisfied that you have been given every opportunity to improve your attendance, but the standard has still not been reached, you will be issued with a Final Written Warning which will remain on your file for 12 months.

Any documentation that you wish to refer to during the hearing must be provided to [name of Chair of panel] at [address] no later than 5 days before the hearing, along with the names of any witnesses you intend to call to support your case. Please note that it is your responsibility to invite your witnesses to attend the hearing. Your Trade Union representative or work colleague may act on your behalf to contact these witnesses if permission from yourself has been granted. [For your information, I will be calling the following witnesses: [name(s)].

If you, or your representative, require any special arrangements in order to attend the hearing, please let me know as soon as possible so that I can facilitate these for you.

Please note that failure to attend the hearing without an acceptable reason may result in the hearing going ahead in your absence.

If you have any questions regarding the contents of this letter, please do not hesitate to contact me on [\[telephone number\]](#).

Yours sincerely,

[\[Name of manager\]](#)

[\[Job Title\]](#)

Appendix H - Example Hearing Contents Page

This template is to provide managers with a framework on how to structure panel hearing folders. It is not intended to be prescriptive and can be adapted to suit managers' individual requirements.

Name of employee
Attendance Management Hearing
Date and venue of hearing

Panel Members:

[Name, Job Title] (Chair)

[Name, Job Title] (HR Representative)

Presenting Officer: [Name, Job Title]

Section 1 Attendance Management Policy

- 1.1 Attendance Management Policy and Procedure
- 1.2 Hearing Format

Section 2 Employment Details

- 2.1 Employee Summary (Job Title, Grade, Hours, Location)
- 2.2 Contract of Employment
- 2.3 Job Description

Section 3 Correspondence

- 3.1 Invite to Formal Attendance Management Meeting on [date]
- 3.2 Outcome of Stage 2 review meeting on [date]
- 3.3 Invite to Stage 3 Attendance Management Hearing on [date]
- 3.4 Outcome of Stage 3 Attendance Management Hearing on [date]
- 3.5 Invite to Stage 4 Attendance Management Hearing on [date]

Section 4 Notes of Meeting / Evidence

- 4.1 Copy of support plan (Stage 1)
- 4.2 Notes from Formal Attendance Management Meeting on [date]
- 4.3 Copy of support plan (Stage 2) covering [dates]
- 4.4 Notes from review meeting (Stage 2) on [date]
- 4.5 Notes from Attendance Management Hearing (Stage 3) on [date]
- 4.6 Copy of support plan (Stage 3) covering [dates]
- 4.7 Notes from review meeting (Stage 3) on [date]

Section 5 Supplementary Information

- 5.1 Absence information (e.g. list / chart showing dates, reasons, etc.)
- 5.2 Comparative absence data / departmental targets
- 5.3 Advice from Occupational Health
- 5.4 Redeployment information

Appendix I - Outcome of Attendance Management Hearing (Stage 3)

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

I am writing to confirm the outcome of the Attendance Management Hearing held on [date] which was heard by me, [name, job title] and [name, job title]. Also present were [name] as your representative and [name] as note-taker.

The purpose of the hearing was to consider the steps made to improve your attendance and your progress against the support plan put in place at the Attendance Management Meeting (Stage 2) on [date].

[Delete options below as appropriate]

Option One

Having considered the evidence provided at the hearing, the panel have decided that your attendance meets the expected level. The attendance management procedure will therefore cease. However, if the improvement is not sustained for a period of 12 months from the end of the review period then your manager may recommence managing your attendance at Stage 4 of the Attendance Management Policy and Procedure.

Option Two

Having considered the evidence provided at the hearing, the panel have decided that you should be issued with a [number] week extension to the support plan review period agreed during Stage 2.

As agreed at the hearing, the panel will reconvene at [time] on [date] in [location] to consider your progress against the support plan during this period.

Option Three

Having considered the evidence provided at the hearing, the panel have decided that your level of attendance is not acceptable and therefore you will be issued with a Final Written Warning. This will remain on your file for 12 months.

Your manager will meet with you within the next 7 days to agree a further support plan and review period with you. If you fail to achieve the required level of improvement in your attendance by the end of the support plan review period then a Stage 4 Attendance Management Hearing will be arranged. A possible outcome of this hearing may be the decision to terminate your contract of employment.

I have enclosed a copy of the Appeal Policy and Procedure along with an appeal registration form. You have the right to appeal against the decision to issue you with a Final Written Warning. If you wish to appeal please complete and return the appeal registration form to myself within 7 working days of receiving this letter.

A copy of the notes taken at the hearing is enclosed for your information.

Yours sincerely,

[Name of chair]
[Job Title]

ATTENDANCE MANAGEMENT PROCEDURE - FINAL WRITTEN WARNING

Name:

Job Title:

1. Date Issued

This warning was issued at the Attendance Management Hearing (Stage 3) on [date].

2. Status of Warning

This is a final written warning issued under the Attendance Management Policy and Procedure.

3. Nature of Offence

You were issued with this warning as you had failed to achieve the required level of improvement in your attendance.

4. Improvements Required

Following the Attendance Management Hearing a further support plan was agreed to support you to improve your attendance. You are therefore required to achieve the improvements as set out in the plan and to maintain this improvement in your attendance for a 12 month period.

5. Support to be Given

Details of the support that will be provided to you are set out in the agreed support plan. If you feel that additional help or support could be provided, please speak to your manager.

6. Retention of Warning on Personal File

A copy of this warning will be kept on your personal file for 12 months from [date of Attendance Management Hearing].

7. Consequences of Failure to Maintain

Failure to achieve and maintain the requirements set out in paragraph 4 above will result in an Attendance Management Hearing (Stage 4) being convened. If the panel is satisfied that you have been given every opportunity to improve your attendance, but the standard has still not been reached, your contract of employment will be terminated.

Acknowledgement of Final Written Warning

I acknowledge that I have been given a final written warning under the Attendance Management Policy and Procedure. I have read and understood the contents of this warning.

Signed: _____

Date: _____

Print Name: _____

Appendix J - Invitation to Appeal Hearing

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

Following receipt of your appeal under the Attendance Management Policy and Procedure against your [final written warning / dismissal], I am writing to invite you to attend an appeal hearing. Your appeal will be heard by [name, job title], and [name, job title] at [time] on [date] in [location]. [Name] will also be in attendance to take notes. On arrival you should report to [location] and ask for [name].

You may, if you wish, be accompanied at the hearing by a work colleague or Trade Union representative.

Enclosed for your attention is a copy of management's response to your appeal statement, along with supporting documents. I will be in attendance at the hearing to present the management case. [For your information, management will be calling [name(s)] as their witness].

The outcome of the appeal hearing will be to either:

- Uphold the original decision taken and maintain any sanction;
- Overturn the original decision and implement a new decision along with any appropriate sanction/action.

Please be advised that the decision of the appeal hearing will be final and there is no further right of appeal.

I would be grateful if you would please confirm that you are able to attend the hearing. Please note that failure to attend without an acceptable reason may result in the hearing going ahead in your absence.

If you, or your representative, require any special arrangements in order to attend the hearing, please contact me as soon as possible so that I can facilitate these for you.

If you have any questions regarding the contents of this letter, please do not hesitate to contact me on [telephone number].

Yours sincerely,

[Name of manager]
[Job Title]

Appendix K - Outcome of Appeal Hearing

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

I am writing to confirm the outcome of the Attendance Management Appeal Hearing held on [date] which was heard by me, [name, job title] and [name, job title]. Also present was [name] as your representative and [name] as note-taker.

You appealed against the decision made at the Attendance Management Hearing on [date]. The reason for your appeal was [reason].

Having considered the evidence provided at the hearing, the panel have decided to [uphold the original decision to issue you with a final written warning / terminate your employment] or [overturn the original decision to issue you with a final written warning / terminate your employment]. Include details of any additional actions/recommendations and reasons for decision.]

The decision of the appeal hearing is final and there is no further right of appeal.

Yours sincerely,

[Name of Chair of panel]

[Job Title]

Appendix L - Outcome of Stage 3 (Final Action)

NB: If the employee has failed their support plan please use Appendix L to confirm the outcome and invite them to attend a Stage 4 Attendance Management Hearing

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

I am writing to confirm the outcome of the review meeting held on [date] under Stage 3 of the Attendance Management Policy and Procedure.

The purpose of this meeting was to review your progress against the contents of the support plan which was agreed following the Attendance Management Hearing on [date].

[Delete options below as appropriate]

Option One

As I advised at the meeting, I am pleased to be able to confirm that you have achieved the required level of improvement in your attendance. The attendance management procedure will therefore cease.

I hope that you will continue to maintain this improvement. As discussed at the review meeting, if you fail to sustain this improvement for a 12 month period from the end of the review period then it may be necessary to recommence managing your attendance at Stage 4 of the Attendance Management Policy and Procedure.

Option Two

As I advised at the meeting, I am pleased to be able to confirm that you have made some improvement towards achieving the required level of attendance. We therefore agreed that we would extend your support plan by [number] weeks. The review period will therefore now end on [date].

As agreed at the meeting, we will hold a further review meeting on [date] at [time] in [location].

Please find enclosed a copy of the notes taken at the meeting for your information. If you have any questions regarding the contents of this letter, please do not hesitate to contact me on [telephone number].

Yours sincerely,

[Name of manager]
[Job Title]

Appendix M - Invitation to Attendance Management Hearing (Stage 4)

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

I am writing to confirm the outcome of the review meeting held on [date] under Stage 3 of the Attendance Management Policy and Procedure. The purpose of this meeting was to review your progress against the contents of the support plan which was agreed following the Attendance Management Hearing on [date].

As I advised at the meeting, you have failed to achieve the required level of improvement in your attendance. It is therefore now necessary to convene a further Attendance Management Hearing.

The hearing will take place at [time] on [date] in [location] and will be heard by [name, job title], [and [name, job title]. Also present will be [name] to take notes. On arrival you should report to [location] and ask for [name].

I will present the management case at the hearing and enclosed is a copy of the documents that I will refer to. During the course of the hearing you will have the right to hear and question the evidence presented. You will also have the opportunity to present your case and may, if you wish, be accompanied by a work colleague or Trade Union representative.

The purpose of the hearing is to consider the steps taken to improve your attendance and your progress against the support plans put in place previously.

If the panel is satisfied that you have been given every opportunity to improve your attendance, but the standard has still not been reached, you will be dismissed from the Council's employment with notice.

Any documentation that you wish to refer to during the hearing must be provided to [name of Chair of panel] at [address] no later than 5 days before the hearing, along with the names of any witnesses you intend to call to support your case. Please note that it is your responsibility to invite your witnesses to attend the hearing. Your Trade Union representative or work colleague may act on your behalf to contact these witnesses if permission from yourself has been granted. [For your information, I will be calling the following witnesses: [name(s)].

If you, or your representative, require any special arrangements in order to attend the hearing, please let me know as soon as possible so that I can facilitate these for you.

Please note that failure to attend the hearing without an acceptable reason may result in the hearing going ahead in your absence.

If you have any questions regarding the contents of this letter, please do not hesitate to contact me on [\[telephone number\]](#).

Yours sincerely,

[\[Name of manager\]](#)

[\[Job Title\]](#)

Appendix N - Outcome of Attendance Management Hearing (Stage 4)

STRICTLY PRIVATE AND CONFIDENTIAL

[Name]

[Address]

[Date]

Dear [Name],

I am writing to confirm the outcome of the Attendance Management Hearing held on [date] which was heard by me and [name, job title]. Also present were [name] as your representative and [name] as note-taker.

The purpose of the hearing was to consider the steps made to improve your attendance and your progress against the support plan put in place following the Attendance Management Hearing (Stage 3) on [date].

[Delete options below as appropriate]

Option One

Having considered the evidence provided at the hearing, the panel have decided that your attendance meets the expected level. The attendance management procedure will therefore cease. However, if the improvement is not sustained for a period of 12 months from the end of the review period then your manager may recommence managing your attendance at Stage 4 of the Attendance Management Policy and Procedure.

Option Two

Having considered the evidence provided at the hearing, the panel have decided that you should be issued with a [number] week extension to the support plan review period agreed during Stage 3.

As agreed at the hearing, the panel will reconvene at [time] on [date] in [location] to consider your progress against the support plan during this period.

Option Three

Having considered the evidence provided at the hearing, you have been given a full opportunity to improve your level of attendance and have failed to do so. The panel's decision is therefore that you will be dismissed on the grounds of unsatisfactory attendance.

As this is not summary dismissal, you are entitled to [duration] paid notice from the date of the hearing and therefore your employment will terminate on [date]. You [are/are not] required to work this notice. Your P45 will be forwarded to you shortly.

You are required to return any property which is still in your possession and [name] will be in contact with you to arrange this.

I have enclosed a copy of the Appeal Policy and Procedure along with an appeal registration form. You have the right to appeal against this decision and should complete and return the appeal registration form to myself within 7 working days of receiving this letter.

Should you decide to appeal, the effect of the dismissal will still stand i.e. you will remain dismissed pending the outcome of the appeal hearing.

A copy of the notes taken at the hearing is enclosed for your information.

Yours sincerely,

[Name of chair]
[Job Title]

Stress management competency indicator tool

How effective are you at preventing and reducing stress in your staff?

Use the following questionnaire to assess your behaviour

The 'Stress management competency indicator tool' in this document is designed to allow you to assess whether the behaviours identified as effective for preventing and reducing stress at work are part of your management repertoire or not. The aim is to help you to reflect upon your own behaviour and management style.

The next four pages look in turn at four behavioural areas identified as being important for managers to prevent and reduce stress in their staff. You are asked to consider a range of specific manager behaviours and put a tick in the column that most closely represents your level of agreement with each statement. You can then use the instructions at the end of each table to calculate your score on the behavioural area covered by that table. (NB the term 'team members' is used to refer to people who report directly to you/who you manage.)

The overall assessment process on page 6 allows you to use the scores from the questionnaire to assess your effectiveness in preventing and reducing stress in your staff. It allows you to identify whether any of the areas are Development Needs for you, or whether you are Reasonable or Effective in each area.

Some tips and ideas on how you can use your assessment to improve your effectiveness in preventing and reducing stress at work, through your management behaviour, are provided on page 7. Finally, page 8 provides a summary of the competencies required to prevent and reduce stress at work.

For more information on the framework of 'Management competencies for preventing and reducing stress at work' and the key messages for managers, please refer to the guidance leaflet available for download at: www.cipd.co.uk/subjects/health/stress/_strwkinmgr.htm.

To read more about how the 'Management competencies for preventing and reducing stress at work' were identified, and how the stress management competency indicator tool was developed, please refer to the full research report available for download at: www.hse.gov.uk/research/rrhtm/rr633.htm.



<i>Behaviour/Competency</i>	<i>Strongly Disagree</i>	<i>Disagree</i>	<i>Slightly Agree</i>	<i>Agree</i>	<i>Strongly Agree</i>
Integrity					
I am a good role model					
I treat my team members with respect					
I am honest					
I do what I say I will do					
I never speak about team members behind their backs					
Managing Emotions					
I act calmly in pressured situations					
I take a consistent approach to managing					
My moods are predictable					
I don't pass on my stress to my team					
I approach deadlines calmly					
I welcome suggestions for improvements from my team					
Considerate Approach					
I allow my team to plan their workloads					
The deadlines I create are realistic					
I give more positive than negative feedback					
I deal with problems myself rather than relying on others					
I allow my team to approach their work in their own way					
I show a consideration for my team's worklife balance					
Note down the total number of ticks in each column					
Now multiply each column total by the number indicated to calculate your column score	x 1 =	x 2 =	x 3 =	x 4 =	x 5 =
Add the column scores together and note the total score (maximum score is 85)					
Now divide your total score by 85 and multiply by 100					
(...../85) x 100 =					

<i>Behaviour/Competency</i>	<i>Strongly Disagree</i>	<i>Disagree</i>	<i>Slightly Agree</i>	<i>Agree</i>	<i>Strongly Agree</i>
Proactive Work Management					
I clearly communicate job objectives to my team					
I develop action plans					
I monitor my team's workload on an ongoing basis					
I encourage my team to review how they organise their work					
When necessary, I stop additional work being taken on by my team					
I work proactively					
I see projects/tasks through to delivery					
I review processes to see if work can be improved					
I prioritise future workloads					
Problem Solving					
I deal rationally with problems					
I follow up problems on behalf of my team					
I deal with problems as soon as they arise					
I am decisive when decision making					
Participative/Empowering					
I give employees the right level of job responsibility					
I correctly judge when to consult the team and when to make a decision					
I keep my team informed of what is happening in the organisation					
I act as a mentor to my team					
I delegate work equally					
I help team members to develop in their role					
I encourage participation from the whole team					
I provide regular team meetings					
I give the right level of direction to my team members					
Note down the total number of ticks in each column					
Now multiply each column total by the number indicated to calculate your column score	x 1 =	x 2 =	x 3 =	x 4 =	x 5 =
Add the column scores together and note the total score (maximum score is 110)					
Now divide your total score by 110 and multiply by 100	(...../110) x 100 =				

AREA 3
MANAGING THE INDIVIDUAL WITHIN THE TEAM

<i>Behaviour/Competency</i>	<i>Strongly Disagree</i>	<i>Disagree</i>	<i>Slightly Agree</i>	<i>Agree</i>	<i>Strongly Agree</i>
Personally Accessible					
I prefer to speak to my team personally than use email					
I provide regular opportunities for my team to speak one to one					
I return my team's calls/emails promptly					
I am available to talk to when needed					
Sociable					
I bring in treats for my team					
I socialise with the team					
I am willing to have a laugh at work					
Empathetic Engagement					
I encourage individuals' input in discussions					
I listen when a team member asks for help					
I make an effort to find out what motivates my team members at work					
I try to see things from my team members' point of view					
I take an interest in my team's life outside work					
I regularly ask team members 'How are you?'					
I treat all team members with equal importance					
I check everyone is OK rather than just assuming					
Note down the total number of ticks in each column					
Now multiply each column total by the number indicated to calculate your column score	x 1 =	x 2 =	x 3 =	x 4 =	x 5 =
Add the column scores together and note the total score (maximum score is 75)					
Now divide your total score by 75 and multiply by 100	(...../75) x 100 =				

AREA 4
REASONING/MANAGING DIFFICULT SITUATIONS

The final set of behaviours/competencies refer to how you manage difficult situations in your team such as bullying or employee conflicts. If you haven't experienced situations such as these, it may not be useful for you to complete this section. However, please do remember to refer back to this section and to the 'Management competencies for preventing and reducing stress' framework (see www.hse.gov.uk/stress/linemanagers.pdf) if the need to manage a difficult situation arises.

<i>Behaviour/Competency</i>	<i>Strongly Disagree</i>	<i>Disagree</i>	<i>Slightly Agree</i>	<i>Agree</i>	<i>Strongly Agree</i>
Managing Conflict					
I act as a mediator in conflict situations					
I deal with squabbles in the team before they become arguments					
I deal objectively with employee conflicts					
I deal with conflicts head on					
I try and resolve issues rather than act to keep the peace					
Use of Organisational Resources					
I seek advice from other managers when necessary					
I use HR as a resource to help deal with problems					
I seek help from occupational health when necessary					
Taking responsibility for resolving issues					
I follow up team conflicts after resolution					
I support employees through incidents of abuse					
I make it clear I will take ultimate responsibility if things go wrong					
I address bullying					
Note down the total number of ticks in each column					
Now multiply each column total by the number indicated to calculate your column score	x 1 =	x 2 =	x 3 =	x 4 =	x 5 =
Add the column scores together and note the total score (maximum score is 60)					
Now divide your total score by 60 and multiply by 100					
(...../60) x 100 =					

OVERALL ASSESSMENT

You have now calculated a percentage score for each of the four behavioural areas (or three behavioural areas if you are not measuring your ability to manage difficult situations) that have been identified as important for preventing and reducing stress at work. In order to interpret what these scores mean, use the following guidelines:

75% or below = Development Need: This is an area in which you would benefit from some development. Please refer to back to the questionnaire to explore which of the behaviours you could consider using more often in the future in order to be more effective at preventing and reducing stress in your team.

76% to 89% = Reasonable: You show a good awareness of the behaviours needed for effectively preventing and reducing stress in others. It may be helpful to refer back to the questionnaire to see if there are any behaviours you could add to your repertoire in this area to increase your effectiveness in managing stress in others.

90% and above = Effective: You demonstrate the behaviours that have been shown to be effective in preventing and reducing stress in your team.

Your 'Stress management competence' profile:

Fill in each of the right hand columns. In the effectiveness column, add 'Development Need', 'Reasonable' or 'Effective' using the guidance above.

Competency	Percentage	Effectiveness
Respectful and responsible: Managing emotions and having integrity		
Managing and communicating existing and future work		
Managing the individual within the team		
Reasoning/Managing difficult situations		

WHAT DO I DO NEXT?

In order to improve your effectiveness at preventing and reducing stress at work, we suggest the following steps:

- 1 Look for the behavioural area in which you received the lowest score and focus on this as top priority. If you have identified several Development Needs or areas that you would like to move into the 'Effective' zone, take them one at a time – you don't have to change everything at once!
- 2 Look back at the questionnaire to explore what behaviours are relevant to this area. On the following page is also a summary of the four behavioural areas, and outlines of the key behaviours in each. Identify the ones that you indicated you do least and consider what you need to do in order to show these behaviours more often. It may simply be a matter of being more aware of how you are behaving at the moment and making small shifts to add the relevant additional (or alternative) behaviours to your repertoire.
- 3 You may find it helpful to check out with your team whether they would find it helpful for you to show more of these particular behaviours and how that would be different from what you do at the moment. You could ask them to give you feedback on how you are doing.
- 4 If you feel that it will be difficult for you to make these behavioural changes on your own, consider seeking support. For example, informal coaching or support from your own manager and/or from the HR department might be helpful; you might find it helpful to get some formal coaching or mentoring; and/or you might want to attend a training course to develop the relevant skills.
- 5 Finally, in addition to the information provided on the Health and Safety Executive website, you may find the following useful for gaining more information about managing stress and mental health at work:
 - SHIFT Line Manager's Resource: for practical guidance on managing and supporting people with mental health problems in the workplace: www.shift.org.uk
 - Mental Health Foundation and Mind websites: for information about mental health issues: www.mentalhealth.org.uk and www.mind.org.uk
 - Information and resources may also be available through your employer, for example from: Occupational Health, Employee Assistance Programme/Welfare Service and Human Resources.

SUMMARY OF THE 'MANAGEMENT COMPETENCIES FOR PREVENTING AND REDUCING STRESS AT WORK' FRAMEWORK

Competency	Sub-Competency
Respectful and responsible: Managing emotions and having integrity	Integrity <i>Being respectful and honest to employees</i>
	Managing emotions <i>Behaving consistently and calmly around the team</i>
	Considerate approach <i>Being thoughtful in managing others and delegating</i>
Managing and communicating existing and future work	Proactive work management <i>Monitoring and reviewing existing work, allowing future prioritisation and planning</i>
	Problem solving <i>Dealing with problems promptly, rationally and responsibly</i>
	Participative/empowering <i>Listening to, meeting and consulting with the team, providing direction, autonomy and development opportunities to individuals</i>
Managing the individual within the team	Personally accessible <i>Available to talk to personally</i>
	Sociable <i>Relaxed approach, such as socialising and using humour</i>
	Empathetic engagement <i>Seeking to understand each individual in the team in terms of their health and satisfaction, motivation, point of view and life outside work</i>
Reasoning/Managing difficult situations	Managing conflict <i>Dealing with conflicts decisively, promptly and objectively</i>
	Use of organisational resources <i>Seeking advice when necessary from managers, HR and Occupational Health</i>
	Taking responsibility for resolving issues <i>Having a supportive and responsible approach to issues and incidents in the team</i>