**Title:** Short Term Sickness Absence Management

**Document author:** Human Resource Advisor

**Document type:** Management Guidance Note MGN 32

**Document library section:** Human Resources

**Sub Section:**

**Document status:** FINAL

**Approved by:** Joint Partnership Committee

**Can this document be published to the internet (publicly available):**

**Brief summary of document**

These management guidance notes are to assist managers, team leaders and supervisors to manage the attendance levels of employees with frequent short term sickness absence.

**This document replaces (exact title of previous document or NA):**

Short Term Sickness Absence Management Guidance Note (MGN 32)

**Approved Equality Impact Assessment attached:** Yes

**Cross referenced to:**

- Capability Policy
- Disciplinary Policy
- Long Term Sickness Absence Management Guidance Note
- Anti-Fraud & Bribery Policy
- Secondary Employment Policy

**Ratified by:** Integrated Governance Committee

**Date of ratification:** 18 June 2012

**Name of Executive signing policy:** Tracey Lee, Director of Transition and Governance

**Review date:** December 2015

**Suggested key words (to be completed by Governance Administrator):**

**Expired documents should be retained for 10 years from the date of expiry:**

**Version control table**

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<th>Date</th>
<th>Version number</th>
<th>Summary of changes</th>
<th>Changes made by</th>
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**NHS Kernow Clinical Commissioning Group**
Consultation

List the individuals (use titles only)/groups consulted. This must include the Counter Fraud Local Security Management Specialist

<table>
<thead>
<tr>
<th>Indicate which of the consultees in the left hand column have responded</th>
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<tbody>
<tr>
<td>Joint Partnership Committee</td>
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<tr>
<td>Human Resources &amp; Workforce Team</td>
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<tr>
<td>Local Counter Fraud Specialist</td>
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Consultation comments received

<table>
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<th>Comments Accepted</th>
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<tr>
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<td>Yes</td>
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<tr>
<td>Human Resources and Workforce Team</td>
<td>Yes</td>
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<tr>
<td>Local Counter Fraud Specialist</td>
<td>Yes</td>
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</table>

Disseminate to: All staff and managers

Dissemination methods:

- Bulletins – Communications Team to disseminate via Bulletin(s)
- Senior Management Meetings – Managers/HR Manager to take to meeting. HR policies to be included on agendas.
- Team Meetings – Team Leads/Supervisors. HR Policies to be an agenda item.
- Document Library
- NHS Kernow Clinical Commissioning Group
- Appropriate Training Programmes

Aim: To ensure that attendance at work is appropriately managed to help ensure the wellbeing of employees and effective delivery of the service.

Purpose: To assist managers, team leaders and supervisors in how to manage short term sickness absence sympathetically, fairly, consistently and promptly and should be used in conjunction with the Long Term Sickness Management and Capability Policy where appropriate.

Objectives: To ensure that all short term sickness absence is managed and monitored in accordance with the organisation’s policy.

Responsibilities: All employees and managers of the organisation.

Definitions/Glossary:

1 How to Manage Short Term Absence

A key principle of managing short term sickness absence is the assumption that the sickness is genuine. If there is evidence that sickness is not genuine, this must be investigated and dealt with separately as a conduct issue under the Disciplinary Procedure or referred to the organisation’s counter Fraud Specialist in accordance with
1. Keep accurate records

It is important that the absence is recorded accurately with the correct reason for the absence. For example, time off for reasons other than sickness, such as childcare issues, should not be recorded as sickness. It is actually fraudulent to claim sick pay when not sick. Also, inaccurate reporting does not allow us to see the real absence reasons and offer the right support to the employee. This is also true of the actual reason for sickness absence (see Appendix J). Work-related absences should always be reported as such.

1.1 Keep accurate records

1.2 Carry out Return to Work (RTW) interviews after every absence

The Return to Work Record Form (Appendix B) is important, as it is the first record made following the employee’s absence. A Return to Work Record Form must be completed for every single absence, including part-day absences, on the day the employee returns to work. If the Line Manager cannot complete this interview face to face then it may be appropriate to do this over the phone. Please see Appendix C for guidance on how to carry out Return to Work Interviews and a template form to be used for recording each period of absence.

1.3 Following completion, the Return to Work Form should be filed in the employee’s ‘P’ file.

1.4 Communicate your concerns at the earliest opportunity – do not let problems grow

Absence management actions must be timely. Return to Work Interviews should be carried out on the day the employee returns, ideally before the start of the shift. A Return to Work Interview can be completed by a telephone conversation, if it is not possible to have a face to face meeting. A Return to Work Interview completed two weeks after the employee has returned from sick leave will have little effect. Regular and effective Return to Work Interviews will reduce absence. If the Manager is concerned that someone is having too much time off work then the Manager should tell them so, otherwise the employee will not know what is expected of them.

1.5 If the Manager notices that on previous Return to Work Interview Records that an employee has had several absences recently or there appears to be a pattern, the Manager can often nip potential problems in the bud if concerns are expressed early.

2 Contact with the Employee whilst they are absent from work on sick leave

2.1 The NHS Kernow Clinical Commissioning Group policies require an employee to contact their Line Manager while absent on sick leave. There will be local arrangements as to who should be notified and how contact should be made and Managers should ensure all employees are clear about these requirements. Wherever possible, the employee should contact their Line Manager personally and not leave messages on an answer phone or with another employee. It is important to note that emails and text messages are NOT acceptable. When the employee rings in, Managers can ask them the reason for their absence, the expected duration and anticipated return to work date. Please see the KCCG’s Managing Sickness Absence Reporting and Certification Procedure – Employee’s Responsibilities leaflet (Appendix L).

2.2 Employees should not attend work if they are unwell or unfit, if in doing so they would affect their health and the health of others. If an employee arrives for work, and they are unwell, it will be at the manager’s discretion as to whether they are permitted to attend work, or whether they are sent home.

2.3 Certain potentially contagious medical conditions will require laboratory tests to be carried out and employees may not be allowed to return to work until the laboratory test results give them clearance to resume work. It may be that they do not know when they will return. Managers can also ask the employee to call again the following day or week or whenever appropriate to keep informed. Managers are also able to contact the employee at home, particularly if they have not made sufficient contact. If the employee does not follow the notification requirements, then their absence may be considered to be unauthorised absence and they may not be entitled to sick pay. Continued unauthorised absence may result in disciplinary action being taken. If Managers are not sure what
2.4 Employees should be reminded that they should not engage in outside employment which may conflict with their NHS work or be detrimental to it. They are required to tell the Organisation of any outside work and particularly if they think that they may be risking a conflict of interest in this area.

As detailed in the Organisation’s Secondary Employment Policy, to claim sick pay from the Organisation while working anywhere is fraudulent and will be formally investigated by the Organisation and/or the Organisation’s Counter Fraud Specialist in accordance with the Organisation’s Anti-fraud and Bribery Policy. This may result in the employee incurring a criminal record as well as Disciplinary Action, including dismissal, being taken.

3 How to carry out an Absence Review Meeting

3.1 Managers can carry out an ‘Absence Review Meeting’ (Appendix D, which provides more detail on the process.) about an employee’s absence record whenever you have reasonable concerns. The current triggers for an Occupational Health referral are:

- 3 occasions in last 3 months;
- 10 days absence in six months;
- Bradford score of 300+;
- Continuous period of absence of four weeks (any period of absence of over four weeks is defined as long term sick leave) or on receipt of a medical certificate confirming that the employee will be absent from work on sick leave for four weeks or more;
- Pattern of absence which coincides with off duty time e.g. first or last shift in a week.
- If it has been identified that a staff member has continuing health concerns that may need additional support or reasonable adjustments need to be made.

3.2 Managers do not necessarily have to wait for these triggers to have a discussion with an employee about their absence. For example, a Manager may wish to carry out reviews with an employee who triggers a Bradford Score of 100 points+ but would need to ensure that this criterion is applied to all the staff in the respective managed area. If Managers are not sure whether or not it is appropriate to initiate a meeting, please contact the Human Resources Department for advice.

(Please see Appendix I on how Bradford Scores are calculated).

3.3 Before a Manager meets with the employee, it should be ensured that records of their absence are correct and that previous Return to Work forms are available. It is also useful to have the sickness record documented in calendar style (available on Electronic Staff Record (ESR) / back of Attendance Record Card) as a visual aid to show patterns and frequency. Managers should make a note of key points to discuss to assist in structuring the meeting effectively. Use Invitation and Outcome letters (Appendices E, F and G).

3.4 If a staff member fails to achieve their target, the individual is met with as soon as possible by the line manager.

3.5 If a staff member fails to achieve the target set, Stage 1 of the Formal Capability Procedure will be instigated unless there are exceptional circumstances. The following will be taken into consideration.
3.6 If, following a failure of the target period, the formal capability procedure is not instigated, then a further target should be re-set from the date of the last sickness absence.

4 **Instigating the Formal Capability Procedure**

4.1 The point at which Managers instigate the formal Capability Procedure depends on each individual case, but will normally be after one or two Absence Review Meetings (see flow chart in Appendix H). Use Occupational Health and Human Resources for advice and support throughout. The formal procedures should be used when the level of short term frequent absence continues at an unacceptable level. Managing sickness absence is about supporting the employee and being concerned about their health and welfare. It also ensures that the impact on the organisation is minimised and managed fairly and consistently. Any formal warnings given under the Capability Procedure are not questioning whether the absence is genuine, but warning the employee that their level of attendance at work is at an unacceptable level and needs to improve, otherwise, ultimately their employment is at risk.

4.2 **Stage 1 – Potential sanction of a First Written Warning**

Where informal measures have failed the supervisor/line manager, having assembled all the relevant information, shall arrange a 1st Stage Capability Meeting with the employee. At the meeting the absence history of the individual will be outlined together with the support measures and adjustments made. The employee will be given every opportunity to present their view or explanation. Whilst there is no doubt that the sickness is of a genuine nature, this needs to be balanced with Service provision.

Following the meeting if the outcome is a sanction of a First Written Warning, the employee shall receive written notification of the Warning, confirming that it will be placed on the P File for six months and that there is a right of appeal. A further target of zero absence is to be set with an interim review date for 3 months time. If at this point the target has been met, the situation will continue to be monitored for the remainder of the 6-month written warning. A copy of the written warning will be kept by the supervisor but will be disregarded after six months subject to achievement and sustainment of satisfactory attendance.

If, however, prior to the expiry of the warning there has been insufficient improvement in the employee’s attendance (taking Bradford Scores into consideration), then Stage Two of the formal process will be invoked.

4.3 **Stage 2 – Potential sanction of Final Written Warning**

The employee shall be invited to a hearing with a senior manager. At the hearing the line manager shall present the management case with support from a HR representative detailing the employee’s absence history and of the steps taken to encourage an improvement in the employee’s attendance at work. The employee shall be invited to present their case with representation if they require.

The case will be heard by an independent panel who will make a decision based on the evidence heard and case presented.

If the outcome of the hearing is a sanction of a Final Written Warning, the employee shall receive written notification of the Warning, confirming that it will be placed on the P File for 12 months and that there is a right of appeal. A further target of zero absence is to be set with a review date for 3 months time and any further recommendations should be adhered to. If at the 3 month review meeting the target has been met, the situation will continue to be monitored on a three monthly basis for the remainder of the 12-month written warning. A copy of this written warning will be kept by the supervisor but will be disregarded after 12 months subject to achievement and sustainment of satisfactory attendance.
Where, following the issue of formal warnings(s), the employee’s attendance does not improve to the required level, following consultations with the Human Resources Department, the matter shall be referred to Stage 3 of the procedure.

4.4 **Stage 3 – Potential sanction of Dismissal**

The employee shall be invited to a hearing with a senior manager. At the hearing the line manager shall present the management case with support from a HR representative detailing the employee’s absence history and of the steps taken to encourage an improvement in the employee’s attendance at work. The employee shall be invited to present their case with representation if they require.

The case will be heard by an independent panel who will make a decision based on the evidence heard and case presented.

If the outcome of the hearing results in Dismissal on the grounds of lack of capability due to poor attendance, the employee shall receive written notification of the Dismissal confirming, notice period as specified in their contract of employment or, where this is not possible, payment in lieu of notice. The letter shall state the grounds for the action taken and confirm the employee's right of appeal.

**NB** – If at any stage a warning under the formal capability procedure and expires and is expunged from an individuals record, and they subsequently have occasions of sickness absence the process would be reinstigated at the formal stage. There would be no requirement to commence the process from the informal stage.

5 **Managing Absence Fairly Under the Equality Act 2010**

5.1 Employees who are considered to fall within the scope of the Equality Act 2010 (i.e. have a disability that affects normal daily living) should be managed appropriately and on an individual basis. If all their absences are related to their disability, Managers may need to consider reasonable adjustments, retraining or redeployment in order to help improve their attendance. An employee with a disability may be more liable to take time off because of their disability and it is reasonable for an employer to expect this and help them to manage their attendance. Their attendance targets should reflect this while still taking into account the continued operation of the Organisation and patient services. (See Appendix K for further information).

5.2 If an employee with a disability has absences that are not related to their disability in any way then their absence should be managed in the same way as any other employee. Please contact the Human Resources Department for advice.

5.3 Advice may also be sought from Access to Work’s Disability Adviser, who can be contacted through Job Centre Plus. They may be able to provide advice on any financial assistance that can be offered to purchase equipment.

When monitoring the absence of an employee who has a disability, the sickness record should separate out the disability related sickness and non-disability related sickness. Consideration will need to be given to reasonable adjustments, eg whether adjustments to the targets should be made, whether disability related sickness should be excluded when monitoring sickness against targets, etc.

Once you have received advice from Occupational Health and have considered what adjustments could be made, please contact Human Resources to discuss these, this could include redeployment.

6 **Managing sickness of employees who are pregnant**

6.1 All pregnancy related sickness absence will be recorded in the normal manner. Pregnancy related sickness is defined as any illness that occurs as a result of a woman being pregnant including postnatal depression.

6.2 A return to work interview should be carried following all episodes of pregnancy related sickness absence.

6.3 Pregnancy-related sickness absence should be recorded separately and should not be taken into account when looking at targets. An employee who is absent due
to a pregnancy-related illness during the four week period prior to her due date will be required to start her maternity leave, and will be entitled to maternity pay and not sick pay.

<table>
<thead>
<tr>
<th>6.4</th>
<th>You should ensure a health and safety risk assessment has been undertaken for the pregnant employee. Please see the relevant guidance regarding pregnant employees on the Childcare Co-ordination Team’s Intranet page.</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.5</td>
<td>If you are considering managing the sickness of a pregnant employee, please contact Human Resources for advice.</td>
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</table>

**Training:** No training identified.

**Key Performance Indicators:** Sickness Absence is monitored/ reported against agreed target levels.

**Monitoring:** Sickness Absence is reported to the KCCG Governing Body as part of the Performance Report.

**Equality Impact Assessment:** Attached
# Reporting of Sickness – Record of Discussion with Employee When Off Sick

<table>
<thead>
<tr>
<th>Employee’s Name</th>
<th>Start date of absence</th>
<th>Date &amp; time of discussion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did employee report sickness within first hour of shift/required time period?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Did employee personally report sickness to you/your deputy, or if you/your deputy were unavailable, did they leave a message for you to contact them?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>If employee did not report sickness in accordance with Sickness Reporting and Certification Procedure, have you now reminded them of their responsibilities and the consequences of failing to follow the procedure, ie disciplinary action may be taken and/or loss of pay? Provide a copy to the individual again if they have not reported their absence correctly.</td>
<td>Yes</td>
<td></td>
</tr>
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</table>

## Questions for Employee

**What is the reason for your sickness?**

**Why does this reason prevent you from working?**

**Is sickness related to a disability?**

Prompts for manager:
- **What is the underlying medical condition/disability?**
- If this is the first time you have been made aware that the employee may have a disability, consider whether a referral to Occupational Health is appropriate to seek advice on reasonable adjustments, and/or whether you need to seek advice from HR.

**Is your sickness work-related?**

Prompts for manager:
- Explore what the work-related issues are?
- Explore what would enable the employee to return to work?
- What actions will you need to take?
- Consider whether a meeting needs to be arranged with the employee to address these issues in more detail
- Consider whether a referral to Occupational Health is appropriate and/or whether advice is required from HR.

**What is your expected return to work date?**

**Has a Fit Note been issued by your doctor?**

If yes, what dates are you signed off?

**What is the reason for sickness, as stated on the Fit Note?**

**Are you due to see your doctor again?**

**What is your contact number whilst you are off sick?**

**What is your contact address whilst you are off sick?**

## Reminder to Employee of Responsibility to Keep You Updated and Certification

**Have you reminded employee of their responsibility to keep you updated and for certification?**

Prompts for manager:
- See Reporting and Certification Procedure – Employee’s Responsibilities

## Action Plan/Additional Notes

<table>
<thead>
<tr>
<th>Manager’s Name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

**Notes to manager:**
- Following completion, file on employee’s Personal File.
- Ensure monthly Absence Return has been completed to include this sickness.
It is your responsibility to undertake a Return to Work Meeting with the employee, as soon as possible after the employee has returned to work.
# APPENDIX B - RETURN TO WORK RECORD FORM

## DETAILS OF RETURN TO WORK MEETING

<table>
<thead>
<tr>
<th>Employee’s Name</th>
<th>Manager’s Name</th>
<th>Date of return to work meeting</th>
</tr>
</thead>
</table>

## DISCUSSION REGARDING LAST PERIOD OF SICKNESS ABSENCE

<table>
<thead>
<tr>
<th>Start date of sickness absence (include part days)</th>
<th>Last date of sickness absence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Return to work date</td>
<td>Total days absent from work for this period of sickness</td>
</tr>
</tbody>
</table>

**Record of discussion and agreed actions**

Prompts for manager:
- Welcome employee back
- Ask if they are feeling better? If not, check that they are fit to return to work?
- Discuss return to work plan
- Ask if sickness was work-related? If so, explore reasons and what can be done to address and resolve
- Ask if sickness was disability-related? If so consider if reasonable adjustments need to be considered/advice needs to be sought from Occupational Health or HR
- If employee followed Sickness Reporting and Certification Procedure, thank them. If employee did not, remind them of their responsibilities/or if not first time, consider disciplinary action in accordance with Disciplinary Policy
- Update employee on what has happened in their absence, changes and priorities

## DISCUSSION REGARDING SICKNESS RECORD

**Record of discussion/actions**

Prompts for manager:
- Advise employee of their sickness record over the last 12 months
- Advise employee if their sickness has met any of the Organisation’s trigger points for action to be taken (see Maximising Attendance: Sickness Management Guidelines):
  - 3 occasions of sickness in last 3 months
  - 10 days sickness in last 6 months
  - Bradford score of 300 in last 12 months absence
- If trigger points for action met, advise employee what action you will be taking, eg referral to Occupational Health, following which will arrange formal capability meeting (see Manager’s Guidance on Managing Short-term Sickness)
- If trigger points for action not met, advise employee what action will be taken, if they are met in the future

<table>
<thead>
<tr>
<th>Employee’s signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manager’s signature</td>
<td>Date</td>
</tr>
</tbody>
</table>

If reasonable adjustments are made please forward a copy of this form to HR for their information.
APPENDIX C

HOW TO CARRY OUT A RETURN TO WORK INTERVIEW

Once advice has been received from Occupational Health, you will need to meet with the employee to discuss the situation in more detail. Some general guidance on conducting these meetings is set out below.

(i) Prepare for the meeting

Consider the following points prior to the meeting:

- Is there any support or help that can be offered and is there anything within management control that can be done to help.
- Should any absences be disregarded/discounted because of special circumstances (for example incidents/accidents that are obviously a ‘one-off’).
- Are absences caused by work-related problems or an accident at work – how can this be resolved or avoided in future.
- Does the employee have an underlying medical condition and does that condition come under the Equality Act 2010? (See Section 5 ‘Managing sickness of employees who have a disability’)
- Is the employee pregnant and are the absences pregnancy related? (See Section 6 ‘Managing sickness of employees who are pregnant’).
- Does temporary or permanent redeployment need to be considered? If so, advice should be sought from Human Resources.
- Short term sickness should be managed in accordance with the Organisation’s Capability Procedure and the Organisation’s Sickness Management Guidelines. In addition to reading the ‘Manager’s Guidance – Managing Short Term Sickness’, please also read the Organisation’s ‘Capability Procedure’, in particular ‘Lack of Capability due to Frequent Persistent and Short Term Absences (available on the Document Library, via the Intranet) and the Organisation’s ‘Maximising Attendance – Sickness Management Guidelines (available on the Document Library, via the Intranet).
- The individual circumstances of each case will need to be taken into account to enable sensible decisions to be made. Advice should be sought from Human Resources if you are not clear what action to take.
- Be clear what you are going to say and why. Know the basic principles of why attendance needs to managed and what the standards and be ready to explain these.
- Know the facts. Have a written summary of dates and reasons for sickness and notes from return to work discussions. If there is any doubt about the accuracy of dates/reasons, this should be clarified at the meeting.

(ii) Conduct meetings professionally

Be sympathetic, reasonable and sensitive. Discussions should be carried out sympathetically and in private and should not be threatening in any way.

(iii) Right to be accompanied

If employee is not accompanied, remind them of their right to be accompanied. Employees should have been advised in the letter notifying them of the meeting of their right to be accompanied by a trade union representative or work colleague, not acting in a legal capacity. Clarify at the meeting who has accompanied the employee. They do not have the right to be accompanied by anyone other than a trade union representative or work colleague.
Advise the employee of the Organisation’s sickness triggers for action to be taken

Advise the employee that the Organisation has agreed standards on the level of attendance it can reasonably expect from employees. Where attendance falls below these standards, it is the manager’s responsibility to review the employee’s attendance. An employee’s attendance is considered by the Organisation to be unsatisfactory where their sickness meets one or more of the Organisation’s sickness triggers for action to be taken. Advise the employee of the Organisation’s sickness triggers for action to be taken.

Advise the employee of the purpose of the meeting

Advise the employee of the purpose of the meeting. This will differ slightly at each meeting, so you will need to refer to the relevant template letter for guidance.

Occupational Health advice

Discuss the advice received from Occupational Health, including any reasonable adjustments. You do not need to refer employee to Occupational Health each time you meet, but consider if further advice needs to be sought, particularly if the situation with the employee’s health changes.

If the employee has a disability or is pregnant see advice in Section 6.

Give employees the opportunity to contribute at the meeting

Give the employee the opportunity to raise any points they wish to make. Explore the reasons for the absences and identify how these can be resolved/overcome.

Work on the basis that sickness is genuine

Always work on the basis that sickness is genuine (unless you have medical advice or some other clear evidence to the contrary) and make this clear to the employee. Advise the employee that you do not doubt the genuineness of their sickness, but it is the level of their attendance that is unacceptable.

Setting a target for improvement and a review date

Advise the employee that their attendance must make an immediate, significant and sustained improvement and therefore a target for improvement will be set. Advise the employee of the target and the review period. This may differ slightly at each meeting, so you will need to refer to the relevant template letter for guidance.

If the employee has a disability or is pregnant see advice in Section 6.

Clearly advise of the consequences of not meeting the target

Advise the employee of the consequence of not meeting the target. This will differ slightly at each meeting, so you will need to refer to the relevant template letter for guidance.
(x) Advise the situation if the target is met

As well as advising of the consequence of not meeting the target, it is important to advise the situation if the target is met. This will differ slightly at each meeting, so you will need to refer to the relevant template letter for guidance.

(xi) Thank the employee in advance for their efforts

At the end of the meeting, thank the employee in advance for their efforts and advise them that you hope that this will lead to the improvement required and that no further action will be necessary.

(xii) Record discussions

At the meeting, make notes of the discussion. This will enable you to include any points discussed to the relevant template letter. The letter should accurately reflect what was discussed and agreed at the meeting.

(xiii) Monitor sickness on a monthly basis

Following sickness meetings, monitor sickness on a monthly basis. If sickness exceeds the target set consider whether to refer the matter to the next stage earlier. See template letters for further guidance on this.
APPENDIX D

HOW TO CARRY OUT AN ABSENCE REVIEW MEETING

Introduction:

Explain that the purpose of the meeting is to discuss the employee’s absence record and to understand the reasons for absence. This is so that any appropriate action can be taken to support the employee and improve their attendance at work. As the Line Manager has called this meeting you should offer the employee the right to be accompanied by a fellow work colleague or a Trade Union/Staff Association Representative, who is neither related to the employee nor acting in a legal capacity. If the employee is unable to obtain a representative to accompany them to the original arranged meeting then the meeting should be rearranged at a date at least one working week later, however the meeting should not be delayed any further if the employee is still to obtain representation. You should explain that you will keep a record of the meeting and note any agreed actions and confirm these in writing to the employee. Explain why you have concerns about their absence. Ensure that you have given reasonable notice of the meeting.

Review of the sickness record

- Show and agree the accuracy of sickness record for the period in question
- If this is your first meeting with them, always work on the basis that the sickness is genuine and make a point of telling the employee that you believe their sickness is genuine. If you have concerns that the absence isn’t sickness then this is a conduct issue and should be dealt with differently. Please contact the Human Resources Department for advice.
- Invite the employee’s explanation and views
- Consider any contributory factors other than poor health such as personal, domestic, welfare issues or concerns at work
- Don’t make assumptions about medical or disability issues – listen to the employee and seek appropriate advice. If you think there might be an underlying condition causing the absence please contact the Human Resources or Occupational Health Department for advice.
- Consider any support or help that can be offered and if there is anything within management control that can be done to help e.g.
  - Are absences caused by work related problems or an accident at work – how can this be resolved or avoided in future?
  - Is there anything at work causing them particular stress (confidential Staff Counselling Services are available through the Occupational Health Department or from some employees GPs
  - Ask the employee if they think there is anything they can do improve their attendance
  - If absences are for similar reasons, an Occupational Health referral may be appropriate. If the reasons seem unrelated there may be an underlying cause and the Occupational Health Department may be able to provide support. Discuss what is appropriate with the employee, before making a referral and let them have a copy of the referral so they know what questions you are asking. It may not be necessary in every case.

Explain the impact of the employee’s absence on service users/colleagues

- General points
- Specific pressures of cover, work loads etc
Set targets

- Inform the employee that their attendance is unsatisfactory and that an improvement is needed.
- Set a target to be achieved. This should be specific and time related i.e. set a date at which you will review their absence record again and what improvement you expect during that time.
- Advise the employee of the consequences of not achieving the target that has been set for them. If following the first meeting the target is not met, you might have a further Absence Review Meeting or you might instigate the formal Capability Procedure. Whether or not you instigate the formal Capability Procedure will depend on:
  - the employee's absence record
  - how much they missed the target by
  - the amount of time they had to improve
  - when the absence was and the reasons for the absence.

If, following the first review the employee fails to meet the target and you choose to re-set the target and have a further Absence Review Meeting, they should be informed that if any subsequent targets are not met, the Formal Capability/Absence Management Procedures would be instigated.

Ask for further advice from the Occupational Health Department if appropriate and ensure that you ask all the questions that you need advice on (arrange this so you have written advice in time for the next meeting).

Confirm in writing

Confirm what you have discussed in writing using the standard letters in the Appendix. You should detail the following:

- Specify any management action regarding support, mentoring, help etc
- Specify any agreed actions expected of the employee
- Confirm any targets e.g. ‘less than 4 days of absence and on no more than two occasions in next 3 months’
- Confirm the consequences of not meeting the targets set and the date for the next review meeting

Ensure you place a copy of the notes and correspondence on the employee’s P file

Follow up Absence Review Meeting

The follow up Absence Review Meeting is the next stage of the process and should be held in a similar format to the previous meeting, the main purpose being to review any new absences. If the employee has met or bettered the target set, it is still important to have the meeting and recognise their efforts, commitment and improvement. It is important to reinforce this positively and remind them of the benefits to the Organisation and their team of their sustained attendance at work. There may be actions you need to take in order to sustain their required level of attendance. Confirm this in writing following the meeting.

If however, they have failed to meet the target, you need to explore the reasons for their most recent absences before you make any decisions about the next appropriate step. If they have just missed the target you may wish to set another target before using the formal Capability Procedure.

NB – Managers do not need to wait if until the target period has expired before reviewing, should the individual have a spell of absence within the target period.
If targets have been missed, the next step is to start the formal Capability Procedure. Following your discussion as to the reasons for the continued absence pattern and providing there are no extenuating circumstances; you should tell the employee that you have decided to commence the formal Capability Procedure. Tell them that they will receive written notification of this and will be entitled to be accompanied at the first stage Capability Procedure meeting. (See Appendix 5 for follow up letter). If you require any advice about whether or not to instigate the formal procedure please contact the Human Resources Department.
Personal, Private & Confidential
<Name>
<Address>

Dear Mr/Mrs/Miss/Ms <Surname>

Re Absence Review Meeting

Further to your recent absence from work on sick leave I have been reviewing your attendance record and have noted that you have had <specify> days sick leave / on <specify> occasions.

I am concerned that your absence has reached this level and I would like to meet and discuss this with you at <time> on <date> at <location>.

The purpose of the meeting is to:

- Discuss the reasons for your absence
- Establish whether there is any help or support the Organisation can offer to improve your attendance
- Establish whether there are any underlying causes
- Discuss the potential need for a referral to the Occupational Health Department
- Establish whether there is any action you can take to improve your own attendance
- Set targets for improving your attendance.

I would like to reassure you that I am not questioning the genuine nature of your sickness but am concerned for your health and welfare and want to support you in improving your attendance at work.

As part of this process <Name>, from the Human Resources Department will be present and I am obliged to advise you that you may be accompanied at this meeting by a work colleague or a Trade Union or Staff Association Representative who is neither a relative nor acting in a legal capacity.

Please confirm that you will be attending this meeting and whether you will be accompanied.

Yours sincerely

<Name Line Manager>
<Job title>

cc <Name>, HR <Title>
Dear Mr/Mrs/Miss/Ms <Surname>

Re Absence Review Meeting

Thank you for attending the Absence Review Meeting held on <date>. I am writing to confirm the outcome of the meeting, which I arranged to discuss your sickness absence record which is as follows:

List separate occasions dates and reasons and Bradford Score as appropriate e.g.

Absence record from February 06 – January 07 Cumulative Bradford Score
1st occasion: Feb 12-14th stomach upset 2 days - 1 x 1 x 2 = 2 points
2nd occasion: May 10-11 cold 2 days - 2 x 2 x 4 = 16 points
3rd occasion: July 15th 1st migraine 1 day 3 x 3 x 5 = 30 points
4th occasion: Oct 27 – 29th cold 1 day 4 x 4 x 6 = 96 points
5th occasion: Jan 2nd – migraine 5 x 5 x 7 = 175 points

We agreed that I would: <appropriate management action e.g. Occupational health referral>. We also agreed that you would <appropriate employee action eg reduce number of overtime shifts, as periods of absence coincides with excessive additional hours>. I also explained the consequences of your absence on the rest of team e.g. lack of on-call cover and we set the following target for the next <specify> months. That <specify> days on no more than <occasions> would be considered an acceptable level of improvement in your attendance in the first instance. We will meet on <date> to review your record again. I also informed you that if you did not meet the absence target I would have to consider whether or not to instigate the Formal Capability Procedure.

If there is any other way in which I can support your attendance and health at work please do not hesitate to talk to me.

Yours sincerely

Line Manager
Job Title
cc <Name>, HR <Title>
Private & Confidential

<Name>
<Address>
<Date>

Dear <Surname>

Re Absence Review Meeting Follow-up

Following our meeting on <previous date> the following target was set with regard to your attendance at work <specify target>. Today’s meeting was held to review your progress.

I am pleased to say that your attendance at work has improved during this time and you only had <specify> days off work / no sickness absence from work. I am glad that your health has improved and the fact that your attendance has improved is a positive benefit for the Organisation as well as your colleagues. I hope that you will be able to sustain and continue this improvement. If you do have any future concerns regarding your ability to attend work please don’t hesitate to talk to me.

Or

I note that your attendance at work has not improved, but I recognise that you <have only just missed the target set/or there were extenuating circumstances specify>. Therefore, we have set a new target <specify> which we will review on <date>. You should be aware that if you fail to meet the target this time I will have to instigate the formal Capability Procedure.

If there is any other way in which I can support your attendance and health at work please do not hesitate to talk to me.

Or

I note that your attendance at work has not improved and that you had <specify days/occasions> off sick. Having discussed your subsequent sickness absence, the next step will be to manage your absence via the Organisation’s formal Capability Procedures. You will receive a written invitation to a Capability Procedure Meeting and copy of the Procedure and you will be entitled to be accompanied at this meeting.

I understand that this may be a stressful time for you and if you wish to access counselling in confidence this can be done through the Occupational Health Department on 01872 352770.

Yours sincerely

<Line Manager Name>

<Job title>
cc <Name>, HR <Title>
{Name}, Union Representative
Employee telephones in sick
Record on record of discussion with employee when off sick Form (Appendix A)

Subsequent absences occur, reaching a level of concern
Review records of discussion with employee Forms OH Triggers may have been reached?

Carry out Absence Review Meeting
Set Targets
Review Attendance at Follow up Meeting

Targets now met but some significant improvement
Set further targets and schedule Absence Review Meeting

Targets not met
No significant improvement
Contact HR and commence formal Capability/Absence Management Process

No significant improvement
1st Written Warning

No significant improvement
Final Written Warning

No significant improvement
Dismissal with notice by an appropriate officer

As per Organisation’s Formal Capability and Absence Management Procedures
The Bradford Factor is a method of measuring absence which takes into account the number of occasions or spells of absence as well as the number of days. All sickness will be included when calculating Bradford Scores with no exceptions. It recognises that the frequency of absence can often have a bigger impact. For example, 10 days absence in one spell has less impact, because it can be more easily planned for and covered than 10 days on 10 separate occasions. The Bradford Score is calculated over a rolling period of 12 months. So at any point in time an absence record can be reviewed and the absences in the previous 12 months will used to calculate the score.

The absences are translated into a score, so that when a particular level is reached it triggers further investigation by the Line Manager. This helps to ensure that people are treated consistently. Reaching a particular score does not automatically mean someone will be taken through the capability procedure. It is a trigger to prompt the Manager to investigate the absence record and decide what action, if any, is appropriate and to note their decision and the reasons if they decide that no action is necessary.

Currently, our policy states that reaching 300 points will trigger a referral to Occupational Health. In order to investigate and manage absence proactively, a Line Manager may wish to set a lower score to prompt him/her to investigate further. This could prevent things escalating into a bigger problem by having an informal meeting at an early stage e.g. 100 points.

For example since February 2008

Occasion x Occasion x No of Days i.e. number of occasions squared x number of days

Example A

1\(^{st}\) occasion – 2 days \quad 1 \times 1 \times 2 = 2 \text{ points}
2\(^{nd}\) occasion – 1 day \quad 2 \times 2 \times 3 = 12 \text{ points}
3\(^{rd}\) occasion – 4 days \quad 3 \times 3 \times 7 = 63 \text{ points}
4\(^{th}\) occasion – 1 day \quad 4 \times 4 \times 8 = 128 \text{ points}
5\(^{th}\) occasion – 1 day \quad 5 \times 5 \times 9 = 225 \text{ points}
6\(^{th}\) occasion – 2 days \quad 6 \times 6 \times 11 = 396 \text{ points}
7\(^{th}\) occasion – 1 day \quad 7 \times 7 \times 12 = 588 \text{ points}
8\(^{th}\) occasion – 1 day \quad 8 \times 8 \times 13 = 832 \text{ points}

In example A if the Manager carried out an absence review meeting when 100 points had been triggered, it could have reduced or prevented the subsequent absences. If the Manager had waited for the Occupational Health trigger before managing the absence, this would have had a much bigger impact on the team and the Organisation and the employee.

Example B

1\(^{st}\) occasion – 1 day \quad 1 \times 1 \times 1 = 1 \text{ point}
2\(^{nd}\) occasion – 25 days \quad 2 \times 2 \times 26 = 104 \text{ points}

Here someone has triggered 100 points, but the majority of it is due to a medical condition resulting in 5 weeks sickness absence. As this was known from the start of the absence and could be planned for it is less disruptive than Example A and it would not be appropriate to have an Absence Review Meeting with the employee at this stage.
APPENDIX J – ABSENCE MONITORING/RETURN FORM

Directorate/Business Unit................................................... Month..................................................

<table>
<thead>
<tr>
<th>Name</th>
<th>Employee Number</th>
<th>Job Title</th>
<th>Dates of absence</th>
<th>Contract hours</th>
<th>Numbers of hours lost</th>
<th>Absence Code* (Code overleaf)</th>
<th>Return to work interview</th>
<th>Self/medical certificate received</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>First day</td>
<td>Last day</td>
<td></td>
<td>Date</td>
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</tr>
</tbody>
</table>

This must be completed or the form cannot be actioned

Manager’s Signature .......................................................... PRINT NAME...........................................

Date......................................................
# Appendix J continued

## ABSENCE RETURN CODES

### SICKNESS ABSENCE

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>S1</td>
<td>BLOOD DISORDER</td>
</tr>
<tr>
<td>S2</td>
<td>CANCER</td>
</tr>
<tr>
<td>S3</td>
<td>CARDIAC/CORONARY</td>
</tr>
<tr>
<td>S4</td>
<td>COLD/INFLUENZA</td>
</tr>
<tr>
<td>S5</td>
<td>DENTAL PAIN</td>
</tr>
<tr>
<td>S6</td>
<td>DERMATOLOGICAL</td>
</tr>
<tr>
<td>S7</td>
<td>DIARRHOEA/VOMITING</td>
</tr>
<tr>
<td>S8</td>
<td>EARS, NOSE/THROAT</td>
</tr>
<tr>
<td>S9</td>
<td>EYES</td>
</tr>
<tr>
<td>S10</td>
<td>GASTRO-INTESTINAL</td>
</tr>
<tr>
<td>S11</td>
<td>GENITO-URINARY</td>
</tr>
<tr>
<td>S12</td>
<td>GYNAECOLOGICAL</td>
</tr>
<tr>
<td>S13</td>
<td>HEADACHE/MIGRANE</td>
</tr>
<tr>
<td>S14</td>
<td>HYPERTENSION</td>
</tr>
<tr>
<td>S15</td>
<td>INFECTIONS</td>
</tr>
<tr>
<td>S16</td>
<td>MUSCULO-SKELETAL - BACK</td>
</tr>
<tr>
<td>S17</td>
<td>MUSCULO-SKELETAL - NECK</td>
</tr>
<tr>
<td>S18</td>
<td>MUSCULO-SKELETAL - OTHER JOINT, LOWER LIMB</td>
</tr>
<tr>
<td>S19</td>
<td>NEUROLOGICAL</td>
</tr>
<tr>
<td>S22</td>
<td>OTHER MENTAL DISORDERS</td>
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<tr>
<td>S23</td>
<td>PREGNANCY RELATED</td>
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<tr>
<td>S24</td>
<td>PSYCHOLOGICAL</td>
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<tr>
<td>S25</td>
<td>RESPIRATORY</td>
</tr>
<tr>
<td>S26</td>
<td>STRESS/ANXIETY</td>
</tr>
<tr>
<td>S27</td>
<td>SUBSTANCE MISUSE</td>
</tr>
<tr>
<td>S28</td>
<td>SURGERY</td>
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### SICKNESS ABSENCE REASON

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<td>MED CERT - INDUSTRIAL INJURY</td>
</tr>
<tr>
<td>SH</td>
<td>SELF CERT - ACCIDENT OFF DUTY</td>
</tr>
<tr>
<td>SI</td>
<td>MED CERT - ACCIDENT OFF DUTY</td>
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<tr>
<td>SK</td>
<td>SELF CERT - ROAD TRAFFICE ACCIDENT</td>
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<tr>
<td>SL</td>
<td>MED CERT - ROAD TRAFFICE ACCIDENT</td>
</tr>
<tr>
<td>SM</td>
<td>MED SUSPENSION - NOTIFIABLE DISEASE</td>
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<tr>
<td>SN</td>
<td>MEDICAL SUSPENSION - OTHER</td>
</tr>
<tr>
<td>P: PUBLIC SERVICE</td>
<td>F: CHILD/FAMILY</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>----------------------------</td>
</tr>
<tr>
<td>PA JURY SERVICE</td>
<td>FA MATERNITY LEAVE</td>
</tr>
<tr>
<td>PB WITNESS DUTIES</td>
<td>FB PATERNITY LEAVE</td>
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<tr>
<td>PC MAGISTRATE SERVICE</td>
<td>FC ADOPTION</td>
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<td>PD LOCAL GOVERNMENT SERVICE</td>
<td>FD CARER/COMPASSONATE LEAVE</td>
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<td>PE SCHOOL GOVERNORS</td>
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<tr>
<td>PF ARMED FORCES RESERVE</td>
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<tr>
<td>PZ OTHER PUBLIC SERVICE</td>
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<table>
<thead>
<tr>
<th>A: AUTHORISED ABSENCE</th>
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<tbody>
<tr>
<td>AA TRADE UNION DUTIES / ACTIVITIES WITH PAY</td>
</tr>
<tr>
<td>AB TRADE UNION ACTIVITIES WITHOUT PAY</td>
</tr>
<tr>
<td>AC CANDIDATE FOR APPOINTMENT / INTERVIEW</td>
</tr>
<tr>
<td>AD SUSPENSION - WITH PAY</td>
</tr>
<tr>
<td>AE SUSPENSION - WITHOUT AY</td>
</tr>
<tr>
<td>AF PAID ABSENCE</td>
</tr>
<tr>
<td>AG UNPAID LEAVE</td>
</tr>
<tr>
<td>AZ OTHER</td>
</tr>
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</table>

<table>
<thead>
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<th>U: UNAUTHORISED LEAVE</th>
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</thead>
<tbody>
<tr>
<td>UA INDUSTRIAL ACTION</td>
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<tr>
<td>UB OTHER</td>
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Reasons for exclusion from SSP

<table>
<thead>
<tr>
<th>A</th>
<th>Employee involved in industrial action</th>
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<tbody>
<tr>
<td>B</td>
<td>Employee on temporary contract of 3 months or less</td>
</tr>
<tr>
<td>C</td>
<td>Employee in legal custody</td>
</tr>
<tr>
<td>D</td>
<td>Employee is abroad outside the European Community</td>
</tr>
<tr>
<td>E</td>
<td>New employee has not commenced duty</td>
</tr>
</tbody>
</table>
APPENDIX K

REASONABLE ADJUSTMENTS – EQUALITY ACT 2010

1. Throughout the application of this Policy, due regard must be given to the Equality Act 2010. The Organisation recognises that a disability should not bar a person from employment unless it would genuinely and significantly impede that person from doing the job in question, and there is nothing that the Organisation can reasonably do to overcome this. A disabled person must be given equal opportunities to take up employment and take up training opportunities even when adjustments would require treating that person more favourably than others.

2. Definition

The Equality Act 2010 define a disabled person as anyone with a physical or mental impairment, which has a substantial and long-term adverse effect on their ability to carry out normal day to day activities.

(i) **Physical Impairment** includes, for instance, a weakening of part of the body caused through illness, by accident or congenitally.

(ii) **Mental Impairment** includes a clinically well recognised mental illness, or learning disability.

(iii) **Substantial** means that the effect is more than minor or trivial, but it does not have to be severe.

(iv) **Long-term adverse effect** means that the effect has lasted or is likely to last for at least 12 months, and the effect is a detrimental one. A person whose life expectancy is less than 12 months is also covered if the effect is likely to last for the whole of that time.

(v) **Normal day to day activity** means something that is carried out by most people on a fairly regular and frequent basis.

Under the Acts, the person may be affected in one of the following respects:

(i) Mobility

(ii) Manual dexterity

(iii) Continence

(iv) Physical co-ordination

(v) Ability to lift, carry or move everyday objects

(vi) Speech, hearing or eyesight

(vii) Memory or ability to concentrate, learn or understand

(viii) Perception of the risk or physical danger

Also covered by the Acts are:

(i) Recurring or fluctuating conditions which may include arthritis

(ii) Conditions which progressively deteriorate which may include multiple sclerosis, HIV and cancer

(iii) Severe disfigurements
3. Reasonableness

Reasonable adjustments will be made to working conditions where these would otherwise place a disabled person at a substantial disadvantage. Less favourable treatment of a disabled person for a reason related to the disability cannot be justified where the reason for the treatment can be removed, or made less than substantial, by reasonable adjustment. In determining the reasonableness of a proposed adjustment the following will be considered:

(i) The effectiveness of the adjustment in preventing the disadvantage
(ii) The extent to which it is practicable to make the adjustment
(iii) The effects on the service provided and in particular patient care
(iv) Financial and other costs including any options for assistance (for example, via the Disability Advisory Service)

4. Advice

Where an employee has, through sickness or accident become disabled, the Organisation will assess the potential to retain the person in employment, either within the post currently occupied or in another identified and suitable role. Advice on the implications of the Equality Act should be sought at any stage of the application of the Sickness Policy from a Human Resources Manager/member of Human Resources team or from Trade Union or Professional Organisation representatives. The employee will be offered input from the Disability Advisory Service who will advise on work place adjustments, and where necessary possible alternative employment options. In certain cases, the Disability Advisory Service will contribute to the purchase of specific equipment or other workplace adjustments, which will enable the person to continue in employment. The employee will be involved in all of the above processes.

Disability Employment Advisors (DEAs)

Disability Employment Advisors (DEAs) are usually based in job centres and are supported by local Disability Service Teams (DSTs). DEAs can:

- Provide advice and support in adopting good employment policies and practices in the recruitment, retention, training and career development of disabled people.
- Visit employment premises and provide advice on the practical and financial help available including adaptions to premises or the provision of special aids to employment under the Access to Work programme.
- Provide information on other Employment Service programmes available, such as the Job Introduction Scheme which enables employers to take on someone with a disability for a trial period, or Supported Employment programme when employing someone with a more severe disability.

Disability Employment Advisors can provide:

- An initial employment assessment
- Referral, where appropriate, to work preparation or occupational health assessment
- In depth job seeking advice
- Information on the referral to specialist employment
- Service programmes for disabled people including the Access to Work Programme, Job Introduction Scheme and Supported Employment Programme
- Referral to training
- Work Place Assessments
- Job Matching Service and provision of ongoing support.
They can also provide advice on specialist equipment and can often loan equipment to employers where this is available, and assistance may be available with such costs as fares to work, where employees have travelling problem.

In general, DSTs will fund a proportion of the costs incurred, although the employer is expected to fund a proportion of the adjustments/equipment involved.

Reasonable Adjustments could be:

- Review of working patterns and contracted hours:
  - Consideration of innovative ways of working
  - Working flexibly

- Work place assessment
  - New equipment
  - Change of environment

- Redeployment

- Support
  - Occupational Health
  - Human Resources
  - Training and Development
The Organisation is committed to managing sickness absence fairly, effectively and consistently, whilst maintaining a high quality service to our service users.

The Organisation’s Maximising Attendance - Sickness Management Guidelines* detail the support that will be available to staff, and the steps the Organisation will take to monitor and manage sickness absence.

As an employee of the Organisation, you are responsible for the correct reporting and certification of any sickness absence. Please note that failure to follow this Reporting and Certification Procedure could result in disciplinary action being taken, including dismissal and/or loss of pay.

If you have any queries about the Organisation’s Maximising Attendance - Sickness Management Guidelines or the Reporting and Certification Procedure, please speak to your manager in the first instance.

Human Resources Department
Sedgemoor Centre
Priory Road
St Austell
Tel: 01726 627546

January 2012
<table>
<thead>
<tr>
<th><strong>SICKNESS REPORTING AND CERTIFICATION PROCEDURE</strong></th>
<th><strong>If you fail to contact your manager personally, they will contact you to establish the reasons for your absence. Failure to follow the sickness reporting and certification procedure correctly, could result in disciplinary action, including dismissal and/or loss of pay.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What to do:</strong></td>
<td><strong>When to do it:</strong></td>
</tr>
</tbody>
</table>
| Telephone your manager | At the earliest opportunity but within the first hour of your shift at the latest, or as directed by your manager. | - Telephone and speak to your manager personally and advise them of:  
  - The reason for your absence (sickness or non-sickness);  
  - Why your reason prevents you from working;  
  - Your expected return to work date;  
  - Whether you consider your absence may be work-related, or disability-related;  
  - Whether a Statement of Fitness for Work (Fit Note) has been issued by your doctor;  
  - A contact telephone number and address for the duration of your absence. | - Get someone else to telephone for you, unless you are in hospital or otherwise genuinely unable to make contact personally.  
- Leave a message unless your manager or their deputy is not available. If you do have to leave a message, you must also give a contact number, so that your manager can call you back.  
- Send an email or text message to your manager.  
- Get a work colleague to pass on a message. |
| Keep your manager updated | You must keep your manager updated, by regularly contacting them, at times agreed with them.  
If you are off work for more than a month, you should as a minimum contact your manager at least once a month at times agreed with them and agree a communication strategy for any urgent issues. | - Telephone and speak to your manager personally and advise them of the following:  
  - That you cannot work;  
  - Why you cannot work; and  
  - When you expect to be back at work, or the date you are next seeing your doctor;  
  - Any change in your contact telephone number or address. | - Get someone else to telephone for you, unless you are in hospital or otherwise genuinely unable to make contact personally.  
- Leave a message unless your manager or their deputy is not available. If you do have to leave a message, you must also give a contact number, so that your manager can call you back.  
- Send an email or text message to your manager.  
- Get a work colleague to pass on a message. |
| Self-certify your absence | For any period of absence of seven consecutive days or less (including days you are not rostered/contracted to work) | - Fully complete the Organisation’s Sickness Self-certification Form for any period of absence of seven consecutive days or less. Forms are available from your manager.  
  - If your absence is for seven days or less, you should complete and return the form to your manager, on your first day back at work.  
  - If your absence is for eight days or more, you should complete the Organisation’s Sickness Self-certification Form, for the first seven days of your sickness and let your manager have the completed form no later than five days after the seventh day of your absence. | - Complete the form incorrectly. It is a criminal offence to falsify a Self-certification Form (eg claiming sickness for other reasons such as childcare or carer needs) and could result in disciplinary action, including dismissal.  
- Forget to return the completed Self-certification Form to your manager when it is due. Failure to do so could result in you not being paid. |
| Get a Statement of Fitness for Work (Fit Note) | If you are absent for eight consecutive days or more (including days you are not rostered/contracted to work). | - Let your manager have the Fit Note as soon as your doctor issues it, and no later than five days after it has been signed by your doctor.  
  - If you are still sick when the Fit Note runs out, obtain a new one from your doctor, which immediately follows on from the previous one. Fit Notes must run consecutively.  
  - Let your manager have the new Fit Note as soon as your doctor issues it, and no later than five days after it has been signed by your doctor. | - Have eight days or more off sick, unless your absence from the eighth day is covered by a Fit Note. If you do, you will not be paid.  
- Forget to sign and complete the reverse of the Fit Note, or it will not be accepted and will be returned to you.  
- Have any gaps between your Fit Notes. Failure to provide consecutive Fit Notes could result in you not being paid, and could result in disciplinary action, including dismissal. |
Initial Equality Impact Assessment Screening Form

Initial Equality Impact Assessment
Pro Forma
<table>
<thead>
<tr>
<th>Section</th>
<th>Name of Policy to be assessed</th>
<th>Date of Assessment</th>
<th>Is this a new or existing policy?</th>
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<tbody>
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<td></td>
<td>Managing Short Term Sickness Absence</td>
<td>February 2012</td>
<td>Existing</td>
</tr>
</tbody>
</table>

1. Briefly describe the aims, objectives and purpose of the policy.  
   To provide a method and procedure for managers when dealing with individuals who are on short term sickness absence.

2. Are there any associated objectives of the policy? Please explain.  
   To ensure that there is a fair and equitable process for dealing with staff who work for the KCCG, and are on short term sickness absence.

3. Who is intended to benefit from this policy, and in what way?  
   All employees.

4. What outcomes are wanted from this policy?  
   To enable managers to deal with individuals fairly and consistently when they are absent from work on short term sickness absence.

5. What factors/forces could contribute/detract from the outcomes?  
   Employees may fail to engage in the process or may feel that the nature of their absence is being viewed as not genuine.

6. Who are the main stakeholders in relation to the policy?  
   All staff employed by the KCCG

7. Who implements the policy, and who is responsible for the policy?  
   HR Team and Governance

8. Are there concerns that the policy could have a differential impact on RACIAL groups?  
   This policy is designed to protect all staff and does not impact on any one group of people over another. Monitoring will be undertaken to ensure that there is no disproportionate impact on any racial groups.

What existing evidence (either presumed or otherwise) do you have for this?  
The existence of this policy and procedure should ensure that the Organisation, through its managers, adopts a consistent approach when managing staff with persistent short term sickness absence. This includes those individuals covered by protected characteristics as defined in the Equality Act 2010. The Organisation respects employees from all racial backgrounds as evidenced in its Equality, Diversity and Human Rights Policy. The Organisation will ensure that access to this information will be available to those individuals whose first language may not be English.

9. Are there concerns that the policy could have a differential impact due to GENDER?  
   This policy is designed to protect all staff and does not impact on any one group of people over another. Monitoring will be undertaken to ensure that there is no disproportionate impact on any particular gender.

What existing evidence (either presumed or otherwise) do you have for this?  
An objective of this policy is to ensure all short term sickness absence cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against on the grounds of their gender. The Organisation acknowledges that the workforce is currently disproportionate, as there are more female employees than male. Although this is unlikely
<table>
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<tr>
<th>Question</th>
<th>Outcome</th>
<th>Reason</th>
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<tbody>
<tr>
<td>10. Are there concerns that the policy could have a differential impact due to DISABILITY?</td>
<td>Y</td>
<td>This policy is designed to protect all staff and it is anticipated that this should not impact on any one group of people over another, however it is acknowledged that the detail of the policy may prove difficult to understand for those individuals with a learning disability and monitoring of the number of queries raised by this group of staff to ensure that they are not disproportionately affected will be undertaken. The Organisation will also ensure that this policy is available in alternative formats such as easy read. Any individual who comes under the Equality Act 2010 will be managed appropriately and on an individual basis.</td>
</tr>
<tr>
<td>What existing evidence (either presumed or otherwise) do you have for this?</td>
<td></td>
<td>An objective of this policy is to ensure all sickness absence management cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against on the grounds of their disability as detailed in the under the Equality Act 2010. The Organisation will monitor the number of queries raised by this group of staff to ensure that they are not disproportionately affected. The policy sets out arrangements for making reasonable adjustments to support attendance in the workplace.</td>
</tr>
<tr>
<td>11. Are there concerns that the policy could have a differential impact due to SEXUAL ORIENTATION?</td>
<td>N</td>
<td>This policy is designed to protect all staff and does not impact on any one group of people over another. The Organisation acknowledges that there are a small number of individuals to whom this may apply and this will be monitored to ensure that this group of staff will not be disproportionately affected.</td>
</tr>
<tr>
<td>What existing evidence (either presumed or otherwise) do you have for this?</td>
<td></td>
<td>An objective of this policy is to ensure all short term sickness absence management cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against on the grounds of their sexual orientation.</td>
</tr>
<tr>
<td>12. Are there concerns that the policy could have a differential impact due to their AGE?</td>
<td>Y</td>
<td>This policy is designed to protect all staff and does not impact on any one group of people over another. The Organisation acknowledges however, that there is a higher proportion of older staff members. However monitoring will be undertaken to ensure that the younger workforce are treated equally and will monitor to ensure that the younger workforce are treated equally and will monitor whether they are raising any concerns in relation to their age.</td>
</tr>
<tr>
<td>What existing evidence (either presumed or otherwise) do you have for this?</td>
<td></td>
<td>An objective of this policy is to ensure all sickness absence management cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against on the grounds of age. The Organisation will monitor this through the use of information provided by the Recruitment department.</td>
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<tr>
<td>Question</td>
<td>Outcome</td>
<td>Details</td>
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<tr>
<td>13. Are there concerns that the policy could have a differential impact due to their RELIGIOUS BELIEF?</td>
<td>N</td>
<td>This policy is designed to protect all staff and does not impact on any one group of people over another. An objective of this policy is to ensure all short term sickness absence management cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against on the grounds of their religious belief. The Organisation will monitor the use of this policy and will ensure that the Policy is culturally sensitive.</td>
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<td>What existing evidence (either presumed or otherwise) do you have for this?</td>
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<tr>
<td>14. Are there concerns that the policy could have a differential impact due to their MARRIAGE OR CIVIL PARTNERSHIP STATUS? (This MUST be considered for employment policies.)</td>
<td>N</td>
<td>This policy is designed to protect all staff and does not impact on any one group of people over another. An objective of this policy is to ensure all sickness absence management cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against on the grounds of their marriage or civil partnership status.</td>
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<td>What existing evidence (either presumed or otherwise) do you have for this?</td>
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<tr>
<td>15. Are there concerns that the policy could have a differential impact due to GENDER REASSIGNMENT OR TRANSGENDER ISSUES?</td>
<td>N</td>
<td>This policy is designed to protect all staff and does not impact on any one group of people over another. An objective of this policy is to ensure all short term sickness absence management cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against on the grounds of their gender reassignment or transgender issues. The Organisation will monitor that there is no differential impact on this group of staff.</td>
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<td>What existing evidence (either presumed or otherwise) do you have for this?</td>
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<tr>
<td>16. Are there concerns that the policy could have a differential impact due to PREGNANCY OR MATERNITY?</td>
<td>Y</td>
<td>This policy is designed to protect all staff and does not impact on any one group of people over another and the Organisation will actively monitor the use of this policy to ensure that there is no discrimination on the grounds of pregnancy or maternity. The policy sets out arrangements for managing pregnancy related absence. All members of staff who are pregnant or on maternity leave will have their sickness absence recorded in the normal manner and the manager will ensure that any pregnancy related illness that occurs as a result of a women being pregnant will be recorded separately. An objective of this policy is to ensure all short term absence cases are dealt with consistently and fairly, regardless of the characteristics of the staff member concerned. The Organisation has a commitment to ensure that no person is discriminated against due to pregnancy or maternity and will monitor that there is no discrimination on these grounds.</td>
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<tr>
<td>What existing evidence (either presumed or otherwise) do you have for this?</td>
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17. How have the Core Human Rights Values of:
   - Fairness;
   - Respect;
   - Equality;
   - Dignity;
   - Autonomy
   Been considered in the formulation of this policy/strategy
   If they haven’t please reconsider the document and amend to incorporate these values.

The Core Human Rights Values underpin this policy and in line with the Organisation’s commitment to equality, diversity and human rights as set out in its Equality and Diversity Policy and the Equality, Diversity and Human Rights Scheme 2009-2012.

This Policy is designed to ensure that a fair system is in place for those staff who are absent from work on short term sickness and anyone whom this affects will be treated, fairly, equitably and with dignity and respect.

18. Which of the Human Rights Articles does this document impact?

<table>
<thead>
<tr>
<th>The right:</th>
<th>Yes</th>
<th>No</th>
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<tr>
<td>• To life;</td>
<td></td>
<td>X</td>
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<tr>
<td>• Not to be tortured or treated in an inhuman or degrading way;</td>
<td>X</td>
<td>X</td>
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<td>• To be free from slavery or forced labour;</td>
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<td>X</td>
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<td>• To liberty and security;</td>
<td>X</td>
<td>X</td>
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<td>• To a fair trial;</td>
<td>X</td>
<td>X</td>
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<td>• To no punishment without law;</td>
<td>X</td>
<td>X</td>
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<tr>
<td>• To respect for home and family life, home and correspondence;</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>• To freedom of thought, conscience and religion;</td>
<td>X</td>
<td>X</td>
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<tr>
<td>• To freedom of expression;</td>
<td></td>
<td>X</td>
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<td>• To freedom of assembly and association;</td>
<td>X</td>
<td>X</td>
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<td>• To marry and found a family;</td>
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<td>X</td>
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<tr>
<td>• Not to be discriminated against in relation to the enjoyment of any of</td>
<td>X</td>
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<td>the rights contained in the European Convention;</td>
<td></td>
<td>X</td>
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<tr>
<td>• To peaceful enjoyment of possessions and education;</td>
<td>X</td>
<td></td>
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<tr>
<td>• To free elections</td>
<td>X</td>
<td>X</td>
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What existing evidence (either presumed or otherwise) do you have for this?
The policy is underpinned by a commitment to protect the rights of individuals involved in sickness absence management cases whilst showing respect for their home and family life and affording them privacy and confidentiality.

How will you ensure that those responsible for implementing the Policy are aware of the Human Rights implications and equipped to deal with them?
Through a series of management updates via the staff intranet and guidance/best practice information from HR.
19. Could the differential impact identified in 8 – 13 amount to there being the potential for adverse impact in this policy?

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<tr>
<td>N</td>
<td>Please explain Any differential impact has been mitigated by the steps identified in the policy.</td>
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20. Can this adverse impact be justified on the grounds of promoting equality of opportunity for one group? Or any other reason?

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<tr>
<td>N</td>
<td>Please explain for each equality heading (questions 8 –13) on a separate piece of paper.</td>
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21. Should the policy proceed to a full equality impact assessment?

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<tr>
<td>N</td>
<td>17. If Yes, describe why, then proceed to a full EIA.</td>
</tr>
</tbody>
</table>

18. If No, are there any minor further amendments that should take place? Amendments incorporated in policy.

19. If a need for minor amendments is identified, what date were these completed and what actions were undertaken.

Signed (completing officer) Helen Jones

Signed (Head of Section) ................................................................. Date February 2012

Please ensure that a signed copy of this form is sent to both the Policies Officer and the Equality and Diversity lead to be placed on the KCCG’s website.