

<b>SUBJECT:</b>	<b>EARLY DEPARTURES AND VACANT POSTS</b>
<b>MEETING:</b>	<b>Audit Committee</b>
<b>DATE:</b>	<b>21<sup>st</sup> April 2016</b>
<b>DIVISION/WARDS AFFECTED:</b>	<b>Countywide</b>

**1. PURPOSE:**

- 1.1 To provide Audit Committee members with supplementary information on early departures and vacant posts in response to queries previously raised by the Committee.

**2. RECOMMENDATIONS:**

- 2.1 That Audit Committee receive supplementary information on early departures and vacant posts.

**3. KEY ISSUES:**

- 3.1 Audit Committee members had previously raised questions concerning HR data and reporting. Following a verbal update provided by the Head of Commercial and People Development at the Audit Committee meeting on 5th March 2015, the Chair requested that supplementary information be provided to summarise the update provided. This information was subsequently provided to Audit Committee members in April 2015.
- 3.2 Subsequent to the information provided, Audit Committee members requested further information relating to early departures and vacant posts. A report was presented to Audit Committee members at their meeting on the 23<sup>rd</sup> September 2015. Members requested further information that illustrated the salary bands of those staff affected by early departures. This information was supplied on to Audit Committee members in January 2016. This information is attached per appendix 2 for Members reference.
- 3.3 Members discussed the supplementary information provided at the Audit Committee meeting dated 3<sup>rd</sup> March. Some further information was requested to satisfy members on the information previously provided. This report looks to respond to these questions.

**Vacant Posts**

- 3.3 In the paper dated 23 September 2015 statements were made that some posts had been held vacant to offset in-year budget pressures. Committee members were unable to ascertain how many posts were being held vacant as the accompanying figures indicated that vacancies were mainly described as vacant pending advertisement and selection.

- 3.4 It is correct that the majority of posts were vacant pending advertisement and selection. However, there were 3 posts that were ‘being held vacant currently to offset in-year budget pressures’. These are detailed below:

PROPERTY & FACILITIES MANAGEMENT	RFCECL	Education Cleaning & Hygiene Operative	01/04/2015	Is a current vacancy and post is built into 15-16 staffing budget. Is being used for in year pressures
PROPERTY & FACILITIES MANAGEMENT	RPC21	Senior Architect	10/05/2015	Is a current vacancy and post is built into 15-16 staffing budget. Is being used for in year pressures
WASTE AND STREET SERVICES	OPWS04	Senior Policy & Performance Officer	28/06/2015	In 15-16 manpower budget, however, used savings from employee leaving to assist the CYP £400k shortfall.

### Early Departures

- 3.5 In the supplementary information provided to members in January 2016 (see appendix 2) Members were provided numbers for compulsory redundancies by salary band. Members wished to understand what proportion of employees were affected in each salary band.
- 3.6 Further context has been added to the tables provided per appendix 2 to show the proportion of employees affected by compulsory redundancies and which refers back to table 16.10 (Appendix 1 of the September report) by both Grade and Salary Band as shown below,

Table 1: Early Departures by Grade

Row Labels	Count	No's of staff in Grade	Proportion
Band A	1	164	0.61%
Band B	6	584	1.03%
Band C	4	523	0.76%
Band D	8	1014	0.79%
Band E	7	418	1.67%
Band F	6	296	2.03%
Band G	6	100	6.00%
Band H	4	80	5.00%
Band I	1	177	0.56%
Band J	4	77	5.19%
Band L	1	26	3.85%
Band M	3	8	37.50%

Teach MPS	3	197	1.52%
Teach UPS	19	511	3.72%
Grand Total	73	4175	1.75%

Table 2: Early Departures by Salary Band

Row Labels	Count of Salary Band	No's of staff in Salary Band	Proportion
£0 - £20,000	32	2,503	1.28%
£20,001 - £40,000	37	1,255	2.95%
£40,001 - £60,000	4	143	2.80%
Grand Total	73	3,901	1.87%

Note: table 2 excludes those on Teachers UPS which includes all the Heads, Deputies and Assistants in schools who are paid above the £60,000 threshold

3.5 The highest proportion of Early Departures is from Band M, this relates to 2 senior managers leaving in Operations as a result of the Waste and Grounds restructure and the redundancy of the Environmental Health Manager.

#### 4. REASONS:

4.1 To provide Audit Committee members with up to date information on early departures and vacant posts.

#### 5. RESOURCE IMPLICATIONS:

5.1 There are no resource implications directly arising as a result of this report.

#### 6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:

6.1 There are no sustainability or equality implications to be assessed.

#### 7. SAFEGUARDING AND CORPORATE PARENTING IMPLICATIONS:

7.1 There are no safeguarding or corporate parenting implications to be considered.

#### 8. CONSULTEES:

Chief Officer - Enterprise

#### 9. BACKGROUND PAPERS:

Appendix 1 – Report to Audit Committee dated 23<sup>rd</sup> September 2015

Appendix 2 – Supplementary information provided in January 2016

#### 10. AUTHOR:

Peter Davies – Head of Commercial and People Development

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**SUBJECT: EARLY DEPARTURES AND VACANT POSTS**

**MEETING: Audit Committee**

**DATE: 23<sup>rd</sup> September 2015**

**DIVISION/WARDS AFFECTED: Countywide**

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**3. KEY ISSUES:**

- 3.1 Audit Committee members had previously raised questions concerning HR data and reporting. Following a verbal update provided by the Head of Commercial and People Development at the Audit Committee meeting on 5th March 2015, the Chair requested that supplementary information be provided to summarise the update provided. This information was subsequently provided to Audit Committee members in April 2015.
- 3.2 Subsequent to the information provided, Audit Committee members requested further information relating to early departures and vacant posts.

**Early Departures**

- 3.3 In relation to early departure information the Audit Committee would have seen sight of the Authority's draft 2014/15 Annual Accounts which contained disclosures around termination benefits, which result from early departures, and exit packages. For ease of reference these have been reproduced and are contained in appendix 1.
- 3.4 In order to put these disclosures into context an analysis has been undertaken such as to provide Audit Committee members with further information that outlines the reasons for the redundancies. Table 1 below provides a summary of the early departures that took place in 2014-15.

3.5 Further to this and to assist Audit Committee members the following further explanations are provided:

### **Chief Executive's Unit**

The table shows that 6 employees within the Chief Executive's Unit were in receipt of a redundancy payment for the previous financial year, two of which were externally funded via Welsh Government and the Department of Food, Environment and Rural Affairs. The remaining 4 were made compulsory redundant as a result of restructures in their relevant departments, Public Protection, One Stop Shop, Benefits and Policy and Communications.

### **Children and Young People Directorate (including) Schools**

It is important to note that decisions made in schools are made by the Staff Dismissal Committee (which is made up of 3 members of the Governing Body) following receipt of a report compiled by the Head Teacher and its associated recommendations.

34 of the 37 employees fall into this category, 28 of which are due to school restructuring exercises. This can be further analysed with 17 of those staff presenting themselves for volunteer redundancy and the remainder being made compulsory redundant.

Within the CYP directorate members made the decision to withdraw support for the School Library Provision which resulted in 4 members of staff being made redundant. The remaining 4 were contractually entitled to receive a redundancy payment at the end of their temporary contract as they had over two years' service with the Council.

<b>Directorate / Reason</b>	<b>Employees</b>
<b>CEO</b>	<b>6</b>
Compulsory - loss of WG grant	1
Compulsory following Restructure	2
DEFRA funding removed compulsory	1
Volunteer following Restructure	2
<b>CYP</b>	<b>37</b>
Compulsory Ending of Temporary Contract	4
Compulsory following Restructure	11
Settlement agreement paid following Work Related Ill Health	1
Volunteer following Restructure	17
Compulsory following Restructure, Service withdrawn	4
<b>ENT</b>	<b>15</b>
Compulsory - loss of WG grant	8
Compulsory following Restructure	6
Compulsory end of Funding	1
<b>MCCSCH</b>	<b>2</b>
Compulsory Ending of Temporary Contract	1
Volunteer following Restructure	1
<b>OPS</b>	<b>17</b>
Compulsory following Restructure	4
Volunteer following Restructure	13
<b>Grand Total</b>	<b>77</b>

## **Enterprise Directorate**

The largest numbers of staff made redundant in this directorate, 8, are in relation to the Adult Education section as a result of Coleg Gwent reviewing and withdrawing funding. One Project Officer working in Social Enterprise post was lost as external funding was no longer available. The remaining number, 6, were made redundant following restructure in the Leisure, Libraries and Museums area as part of the rationalisation of the service and the development of the Community Hub programme.

## **Operations Department**

All 17 were made redundant as a result of restructures of Waste and Street Services, Highways and Flood Management and Transport.

- 3.6 Members will be aware that all restructures would have been reported to Cabinet for approval.

### **Vacant Posts**

- 3.7 Vacant post data has been compiled through joint work that has been undertaken by People Services and Finance. Members have previously requested that clarification is given on the number of vacant posts and reassurances that post are not being simply held vacant within departments.
- 3.8 Though reassurances have been provided previously to Audit Committee by officers the information that has been captured illustrates that there are 33 vacant posts as at September 2015. Further analysis shows vacant posts as either:
- (a) Being held vacant currently to offset in-year budget pressures; or
  - (b) The post is due to be or is being advertised or going through recruitment/selection; or
  - (c) The post is to be deleted as part of future restructure/savings proposals
- 3.8 The complete breakdown is provided for members to scrutinise in appendix 2.
- 3.9 It should be noted that work is ongoing with the Authority's HR and Payroll system provider to automate reports that will provide vacant post data such as to avoid the current laborious manual exercise that involves colleagues in People Services and Finance. The current process requires a reconciliation of budgeted staff establishment with the actual employee establishment held on the HR and Payroll system.
- 3.10 One further step has been taken to ease the reconciliation concerns the amendment of the electronic termination form to include the following mandatory question, 'is this post to be deleted from the Establishment?' This allows members of payroll to terminate an employee from the HR and Payroll system to at the same time that a post is being removed from the budget establishment.

#### **4. REASONS:**

- 4.1 To provide Audit Committee members with up to date information on early departures and vacant posts.

#### **5. RESOURCE IMPLICATIONS:**

- 5.1 There are no resource implications directly arising as a result of this report. However, as reported in the draft 2014-15 annual accounts, termination benefits in the form of redundancy payments amounted to £1,146,000 (£668,000 in 2013-14). The Authority also paid enhancements relating to pensions amounting to £595,000 (£264,000 in 2013-14) though this will be paid to the pension fund over a 5 year period.
- 5.2 The significant level of redundancy costs are a direct consequence of the significant changes resulting from the reshaping of services required to allow the Authority to manage within a reduced funding environment.
- 5.2 In terms of vacant posts there are instances where posts are being held open to assist in offsetting in-year budget pressures or will be deleted as part of future restructure and savings proposals being taken forward.

#### **6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:**

- 6.1 This report is not a decision making report and is only providing information to Audit Committee members. There are no sustainability or equality implications to be assessed. Such implications would have been considered as part of any decisions to affect staff changes as a result of restructuring etc.

#### **7. SAFEGUARDING AND CORPORATE PARENTING IMPLICATIONS:**

- 7.1 This report is not a decision making report and is only providing information to Audit Committee members. There are no safeguarding or corporate parenting implications to be considered.

#### **8. CONSULTEES:**

Chief Officer - Enterprise

#### **9. BACKGROUND PAPERS:**

Appendix 1 – Draft Annual Accounts extracts – Termination benefits and exit packages  
Appendix 2 – Vacant post data

#### **10. AUTHOR:**

Peter Davies – Head of Commercial and People Development



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### 16.10 Termination Benefits

The Authority terminated the contracts of a number of employees in 2014/15, incurring liabilities of £1,146,000 (£668,000 in 2013/14) for redundancy payments. None of these costs related to Directors or Chief Officers. This total relates to employees who were made redundant as a result of the Authority's ongoing rationalisation of services and is split as follows:

Directorate	Number of Employees		Redundancy Costs	
	2014-15	2013-14 (Restated)	£000 2014-15	£000 2013-14 (Restated)
Chief Executive's Unit	6	3	108	70
Children and Young People	39	54	474	541
Enterprise	13	12	157	112
Operations	15	3	407	23
Social Care and Health	0	2	0	20
Adjustment for Redundancy Provision not made	0	1	0	(97)
	<u>73</u>	<u>75</u>	<u>1,146</u>	<u>668</u>

In addition, the Authority has paid for enhancements to pensions, relating to redundancies which occurred in 2014/15. The total agreed sum was £595,000 (£264,000 in 2013/14), although this will be paid in instalments over a five year period. This includes an additional 4 employees who did not receive any termination benefit, but did receive pension enhancement.

The redundancy costs arising within the Children & Young People's directorate principally related to the costs of school based redundancies which are required to be met by the LEA.

## 16.11 Exit Packages

The numbers of exit packages together with the total cost per band and the total cost of the compulsory and other redundancies are set out in the table below:

Exit Package cost band (including special payments)	Number of Compulsory Redundancies		Number of other departures agreed		Total number of exit packages by cost band		Total cost of exit packages in each band	
	2014-15	2013-14	2014-15	2013-14	2014-15	2013-14	2014-15	2013-14
							£000	£000
£0 - £20,000	41	55	0	2	41	57	278	289
£20,001 - £40,000	22	13	0	1	22	14	552	365
£40,001 - £60,000	6	4	0	0	6	4	273	211
£60,001 - £80,000	6	1	0	0	6	1	423	67
£80,001 - £100,000	1	0	0	0	1	0	98	0
£100,001 - £150,000	1	0	0	0	1	0	116	0
<b>Total</b>	<b>77</b>	<b>73</b>	<b>0</b>	<b>3</b>	<b>77</b>	<b>76</b>	<b>1,740</b>	<b>932</b>

## VACANT POST DATA – SEPTEMBER 2015

**SOCIAL CARE & HEALTH**

Division	Department	Post ID	Job Title	Previous post holder leave date	Comment
ADULT SERVICES	DIRECT CARE	SAS190	Driver/Porter	22/03/2015	Post restructure as part of pooled budget with Health Board to create capacity for portering services; post due to be advertised
		SAS194A	Senior Occupational Therapist	05/04/2015	Currently vacant, not part of the Council budget, subject to invest to save Frailty initiative, post has been advertised and will be re-advertised
		SAS303	CATERING ASSISTANT	10/04/2015	The post is due to be or is being advertised or going through recruitment/selection
		SAS349	Gardener/Handyman	26/06/2015	Vacant until decision made on shape of role
CHILDRENS SERVICES	FAMILY RESOURCE TEAM	SCS219	Salaried Carer	05/11/2013	Currently vacant but waiting outcome from Head of Service as service has closed
	SUPPORTING CHILDREN & YOUNG PEOPLE	SCS075	Business Support Administrator	04/06/2015	The post is due to be or is being advertised or going through recruitment/selection
		SCS270	Safeguarding & Quality Assurance Officer	18/05/2013	The post is due to be or is being advertised or going through recruitment/selection
	YOUTH OFFENDING TEAM	SCS261	Education, Training & Employment Integrat	10/02/2015	Vacant but proposal for deletion to realign budgets

**COUNT = 8**

## **CHILDREN & YOUNG PEOPLE (INCLUDING SCHOOLS)**

<b>Division</b>	<b>Department</b>	<b>School</b>	<b>Post ID</b>	<b>Job Title</b>	<b>Previous post holder leave date</b>	<b>Comment</b>
ACHIEVEMENT AND LEARNING INFRASTRUCTURE	YOUTH SERVICE		LYW079	14-19 Transition Worker		The post is due to be or is being advertised or going through recruitment/selection
SCHOOLS	PRIMARY SCHOOLS	Rogiet	L21641012	Midday supervisor	31/03/2015	The post is due to be or is being advertised or going through recruitment/selection
		Shirenewton	L22991033	Cleaner	17/04/2015	The post is due to be or is being advertised or going through recruitment/selection
		YSGOL GYMRAEG Y FFIN	L23180003	Deputy Headteacher	31/12/2012	new position curenly being filled on a secondment basis prior to being made permanent
		LLANFAIR KILGEDDIN PRIMARY	L30050001	Headteacher	31/01/2013	Leave for time being - school merged with Usk
		LLANFAIR KILGEDDIN PRIMARY	L30050008	Acting Headteacher	12/04/2015	Leave for time being - school merged with Usk
	SECONDARY SCHOOLS	MONMOUTH COMPREHENSIVE	L40601141	Exam Invigilator	15/06/2015	Casual post, not permanent, filled on an as and when basis to cover examinations.
		MONMOUTH COMPREHENSIVE	L40601248	Healthcare Support Assistant	31/03/2015	The post is due to be or is being advertised or going through recruitment/selection
		KING HENRY COMPREHENSIVE	L40640085	Teacher	12/04/2015	Post holder seconded to Asst Head post, post held as a substantive post for post holder to revert back into

**COUNT = 9**

**ENTERPRISE, OPERATIONS AND CHIEF EXECUTIVE'S UNIT**

Directorate	Division	Department	Post ID	Job Title	Previous post holder leave date	Comment
ENTERPRISE	COMMUNITY LED DELIVERY	ESTATES & SUSTAINABILITY	RET04	Graduate Surveyor	03/04/2014	Is a current vacancy and post is built into 15-16 staffing budget. Going out for recruitment during 15-16
		LIBRARIES MUSEUMS & ARTS	LLL1007	Duty Assistant	28/02/2015	Current vacancy and built into 15-16 staffing budget - should be filled but looking at maybe taking on someone part time
			LPSTA01	Primary School Swimming Instruc Level 1	06/07/2015	Is a current vacancy and post is built into 15-16 Staffing budget
LEADERSHIP SUPPORT UNIT	DEMOCRACY & REGULATORY SERVICES	DEVELOPMENT & BUILDING CONTROL	RDC35	Landscape Officer (Assistant)		The post is due to be or is being advertised or going through recruitment/selection
		LEGAL SERVICES	CDLL 38	Assistant Solicitor	25/05/2015	The post is due to be or is being advertised or going through recruitment/selection
		PUBLIC PROTECTION	REHT05	Student Environmental Health Officer	30/04/2015	Is a current vacancy - not built into manpower as post is unpaid.
			REHT06	Enviromental Health Support Assistant	30/04/2015	The post is due to be or is being advertised or going through recruitment/selection
	FINANCE	INTERNAL AUDIT	RAD14	Principal Auditor	15/02/2015	The post is due to be or is being advertised or going through recruitment/selection
	OPERATIONS	CUSTOMER ACCESS	SAM060	Administrative Assistant	03/07/2015	Forms part of new Hubs structure so assume will be required. Will be filled soon
		HIGHWAYS AND FLOOD MANAGEMENT	ROHT13	Assistant Engineer (Development)	28/02/2015	Is a current vacancy and post is built into 15-16 staffing budget - will be filled.
			ROHT27	Abnormal Loads/TMA Officer	29/03/2015	The post is due to be or is being advertised or going through recruitment/selection
		PROPERTY & FACILITIES MANAGEMENT	RFCECL	Education Cleaning & Hygiene Operative	01/04/2015	Is a current vacancy and post is built into 15-16 staffing budget. Is being used for in year pressures
			RPC21	Senior Architect	10/05/2015	Is a current vacancy and post is built into 15-16 staffing budget. Is being used for in year pressures
TRANSPORT		ROTR12	Schools Transport Procurement Officer	31/12/2014	Part of Transport restructure - will be filled	

		ROTR22	Compliance Grants & Finance Officer		Part of Transport restructure - will be filled
	WASTE AND STREET SERVICES	OPWS04	Senior Policy & Performance Officer	28/06/2015	In 15-16 manpower budget, however, used savings from employee leaving to assist the CYP £400k shortfall.

**COUNT = 16**

**GRAND TOTAL = 33**