Management of Sickness Absence
PERS12

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### Version Control Summary

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1. INTRODUCTION

Southport and Ormskirk Hospital NHS Trust is committed to maintaining the health, safety and welfare of its most important asset, the workforce, and will seek to adopt policies and practices that establish a positive attendance culture and promote the health and well-being of staff.

The Trust needs a well-motivated, healthy workforce for whom consistent and punctual attendance is the norm. Unplanned absence can often be disruptive and may frustrate the effort of teams to maintain service levels.

The Trust recognises that it has a duty of care towards its staff and that employees may be absent from time to time, and therefore considers it essential to endeavour to provide all possible help and support to assist early recovery and return to work.

This policy offers a progressive approach, structured to help staff achieve an early return to acceptable attendance standards. However, sickness absence needs to be assessed very carefully to ensure that there is a fair balance between the needs of the employee and the needs of the Trust. Where problems continue, either as the result of long-term sickness, or frequent or persistent short-term absence, this may ultimately lead to termination of employment on the grounds of medical incapacity.

The Trust recognises that its employees are its key resource. The avoidance of sickness absence through the promotion of healthy lifestyle is key to the Trust’s approach to absence management and a variety of services are available to staff including training in stress management, Employee Assistance Programme, confidential counselling, legal helpline and healthy lifestyle programmes, mediation services, rapid access physiotherapy appointments.

The Trust is registered under the Disability Two Tick scheme and recognises its obligations under the Equality Act 2010 (Disability Discrimination). As a good employer, the Trust will be caring and supportive towards anyone who suffers illness or incapacity.

The Trust will meet its legal obligations and responsibilities under the Health and Safety at Work Act (1974) and all accidents must be recorded.

The policy is not designed to discourage employees who are ill from taking time off to recover but to help and support the employee in maintaining acceptable attendance levels. Employees should not be pressurised to attend or return to work when they are not medically fit to do so.

Managers and employees should not use sickness absence to cover other absence such as disability, annual leave or special leave. A range of flexible and special leave arrangements are detailed in the Trust’s Flexible Working Policy (PERS 11); Supporting Staff with Disabilities and Long Term conditions (PERS 45); and Special Leave Policy (PERS 41), which are available on the Trust intranet site.
All matters relating to the health status of an employee must be dealt with in strict confidence. Details of personal medical conditions must not be divulged to third parties or other staff not involved in the management of the employee absent through sickness.

The focus of this policy is to positively manage attendance and where employees are deemed unfit to fulfil their substantive duties, they may be required to attend work to complete duties they are deemed fit to undertake. For example, an employee who is not able to work in a clinical area for a short period of time will be required to attend work in a non-clinical environment, subject to medical advice from the Health & Wellbeing Team.

2. PURPOSE

The purpose of this policy is to ensure that each member of staff is treated in a consistent manner, which is fair and allows for the efficient functioning of the Trust. The policy aims to assist in the identification and support of employees in the management of attendance.

3. SCOPE

This policy applies to all members of staff employed by Southport and Ormskirk Hospital NHS Trust. Reference should be made to Maintaining High Professional Standards in the Modern NHS (MED STAFF 01) for Medical Staff.

4. EXPLANATION OF TERMS

Standard Target – two episodes of sickness absence in a rolling six months

Foreseeable Future – an indefinite period of more than two months

Long term sickness – absences of twenty nine days or more in duration

Short term sickness – characterised by individual or several days of sickness absence up to and including twenty eight calendar day’s duration

Sickness absence – any period of absence attributed to ill health

Six Month rolling period – this period is calculated using the first day of absence and looking back at the previous six months

5. DUTIES

5.1. Chief Executive

The Chief Executive has the ultimate responsibility for ensuring the implementation of this policy throughout the Trust. The operational responsibility for this is delegated to the appropriate Executive Director and Associate/Deputy Directors.
5.2. Line Manager

Line Managers are expected to support an employee in maintaining satisfactory levels of attendance and for advising employees of action that will be taken if these levels are not achieved.

Line Managers must maintain regular contact with employees who are absent due to sickness.

The Line Manager is expected to complete return to work interviews ideally at the point of return but within two working days for all employees returning from sickness absence and must ensure that the employee has completed their return to work form (Appendix 1).

It is the Line Manager’s responsibility to welcome an employee back to work on day one and to make arrangements for the return to work interview to take place within two working days of the employee’s return. If the employee’s immediate Line Manager is not available to carry out the return to work interview, arrangements must be made for an alternative manager to undertake the meeting.

It is the responsibility of the Line Manager to record all sickness absence on the system relevant to their work area i.e. e-roster, ESR Manager Self Service or the e-SVL on notification of the commencement of absence and to close the absence on the date of return to work.

Line Managers must ensure employees submit completed Self Certification Forms (Appendix 2) and to ensure submission of timely and consecutive GP Fit Notes, with copies being forwarded to the HR department.

The Line Manager is expected to make employees aware of the Trusts’ Management of Sickness Absence Policy and local reporting arrangements at induction.

The Line Manager must notify their Human Resources Advisor if they are unable to support recommended workplace adjustments for employees. Any adjustments which are implemented must be reviewed to assess the effectiveness with regards to improvement in health and attendance.

The Line Manager will confirm the outcome of their meetings with employees in writing. Guidance and templates can be found in the Attendance Management Toolkit.

The Line Manager will discuss the sickness absence monitoring process with the employee at the return to work interview issuing notification of warning letters and Attendance Hearings as appropriate.

Line Managers are required to refer employees to the Health & Wellbeing Department in line with Section 6.17 of this policy.
Line Managers must advise all employees reporting sick with diarrhoea and vomiting that they must not return to work until they have been symptom free for 48 hours.

Line managers must notify the Infection Prevention & Control Team and the Health & Wellbeing Team as soon as possible of employees who report symptoms of diarrhoea and vomiting.

Line Managers must submit a list of individuals to the Infection Prevention and Control Team and the Health & Wellbeing Team if more than one employee reports symptoms and ensure that all employees adhere to the strict practice of hand hygiene at all times.

Line Managers must return all sickness absence related paperwork and completed forms to the Human Resources Department within seven working days where it will be held on file.

Line Managers have a responsibility to ensure compliance with this policy and failure to do so will be addressed by their Line Manager.

5.3. All Employees

All employees are responsible for their own health and well-being and maintaining themselves in a fit state for work. Whilst on a period of sick leave an employee should not undertake any activity likely to have a negative effect on their recovery.

It is the responsibility of the employee to adhere to the Management of Sickness Absence Policy and to report sickness absence in accordance with this policy.

Employees must maintain regular contact with their Line Manager whilst they are absent due to sickness.

Any employee who believes they have an underlying medical condition which may require reasonable adjustments to be made should make their Line Manager aware of this in writing. Guidance can be found in the Supporting Staff with Disabilities and Long Term Conditions policy (PERS 45).

Employees are contractually obliged to attend meetings to discuss their sickness absence and to attend Staff Health & Well-being appointments. Failure to attend a Health & Well-being appointment may result in decisions being made without the availability of medical advice.

If an employee is prescribed medication that may impair work performance, they should advise their Line Manager who should refer the employee to the Staff Health & Well-being Department for medical opinion.

Whilst on sick leave from the Trust an employee should not undertake other paid employment either for the Trust or another employer unless in exceptional circumstances and is authorised by the Line Manager and Human Resources (refer to section 6.16 of this policy).
Employees are encouraged to take advantage and avail themselves of any initiatives open to staff to improve their health and well-being.

5.4. Staff Health & Well-Being

The Staff Health & Well-being Service will provide a source of expert advice to assist employees and Line Managers in the reduction of sickness absence.

The Staff Health & Well-being Service is responsible for providing timely confidential medical opinion and advice to the employees and their Line Manager in respect of fitness for employment.

The Staff Health & Well-being Service will provide advice on any support or modifications that will assist in maintaining/improving attendance or expediting a return to work.

The Staff Health & Well-being Service will provide advice on the likelihood of a return to work, timescales and any support that may be appropriate, including advice regarding phased return to work programmes.

5.5. Human Resources

Human Resources will train Line Managers in the application of this policy.

Human Resources will provide training, advice and guidance on employment legislation and best practice in respect of the management of sickness absence.

Human Resources will be involved in all formal hearings to ensure that this policy is applied appropriately.

Human Resources will provide monthly absence reports to Clinical Business Unit (CBU) Managers.

Human Resources will provide advice and expertise to the Line Manager as required with regards to any adjustments to the workplace / duties that may facilitate an early return to work or improved attendance record, recognising their obligation to make reasonable adjustments under the Equality Act 2010.

Human Resources will provide advice to Line Managers as required regarding Health & Well-being referrals.

Human Resources will assist line managers in the preparation of management statements of case and in the preparation of outcomes of meetings letters to employees.

6. PROCEDURE FOR MANAGING SICKNESS ABSENCE

Employees may be accompanied by a recognised Trade Union / Professional Body representative or work colleague at all formal stages of the sickness absence procedure. If employees or their chosen representative are unable to attend a
scheduled meeting, an alternative date will be agreed. In the case of formal meetings, failure to attend on the re-arranged and agreed date will result in the case being heard in the absence of the employee and/or their representative. In exceptional circumstances it may be appropriate to make alternative arrangements for a second time.

6.1. Reporting of sickness absence

Certificates – one to seven calendar days

A self-certification form (Appendix 2) should be completed to cover all absences lasting between one and seven calendar days in duration. Non-working days must also be covered by a self-certification if the employee remains unwell on these days.

Certificates – seven calendar days onwards

A medical certificate must be supplied to the employee’s Line Manager for all periods of sickness absence exceeding seven calendar days in duration.

Failure to provide medical certificates in a timely and regular manner will result in unauthorised unpaid absence being recorded by the Line Manager. Disciplinary action may also be considered in accordance with the Trust’s Disciplinary Policy and Rules (PERS 01), which is available on the Trust’s intranet site.

The employee may return to work prior to the expiry of a GP Fit Note should they feel well enough to do so and/or advised by Health and Well-being.

6.2. Notification procedures

The employee must notify his/her Line Manager (or the member of staff designated as in charge of the shift) by telephone as far in advance as possible prior to the commencement of their shift / period of duty on the first day of absence.

Employees should provide as much notice as possible, with a minimum of one hour prior to the expected start time, where practicable.

For staff that work out of hours, notification should be made prior to the end of normal daytime office hours on the same day, where possible or as soon as is reasonably practicable thereafter if there are exceptional circumstances. Should the Line Manager not be at work then notification should be made directly to the Bed Management Team.

Any telephone call should be made in person and only in exceptional circumstances by a personal representative. If the employee has not made personal contact with their Line Manager in the first instance, they should do so as soon as practicable.

Where an area is staffed it is not acceptable to leave a message on an answer phone, with a colleague or junior member of staff. Nor is it acceptable to provide notification by text message or e-mail. If an area is not staffed and the employee
has to leave a message, this must be followed up by a direct telephone call.

An indication of expected length of absence should be given. If the sickness continues beyond the expected duration, the employee should contact and update their Line Manager. The Line Manager and the employee should agree the frequency of on-going regular contact until such a time when the employee is fit.

The Line Manager must record the absence on ESR as soon as they are aware the employee is not attending work and make any necessary referral to Health and Well-being in line with Section 6.17 of this policy.

6.3. Return to work

The return to work interview between a Line Manager and employee forms the first part of the sickness absence monitoring process.

Should an employee take up a temporary role with another manager, this manager will be responsible for carrying out the return to work interview on day one of the employee’s return and any necessary risk assessments.

Line Managers must complete return to work interviews within two working days following each episode of sickness absence including instances when employees finish their shift early due to sickness. The Return to Work Interview Form (Appendix 1) should be completed by the employee and signed by the Line Manager. Return to work forms should be returned by the Line Manager to the Human Resources Department where it will be retained on the employee’s file. In exceptional circumstances it may be appropriate for the interview to be conducted via the telephone with the form being signed off as soon as possible but within a maximum of seven calendar days.

Where an employee unsuccessfully attempts a return to work, this should be regarded as a failed return if the same reason for sickness continues. The Line Manager must discuss both periods of sickness with the employee and Health & Wellbeing to seek further advice with regards to whether the absence should be counted as one episode.

There are certain types of absences that should be recorded as sickness, although discounted from monitoring under this policy. These are:

- Periods of pregnancy related illness prior to the 37th week of pregnancy. Reference should be made to Section 6.7.7 of Trust’s Maternity Adoption and New Parents Leave Policy (PERS 08).

- Transsexual people who are absent from work because they propose to undergo, are undergoing or have undergone gender reassignment. Reference should be made to the Gender Reassignment Recognition Policy (PERS 44)

- Absence resulting from an agreed industrial injury. Reference should be made to section 6.19 of this policy.
• A period of absence as a result of an infectious disease which has been contracted through the course of workplace duties.

• Absences when diarrhoea and/or vomiting (D&V) symptoms are present will be recorded as sickness and managed in accordance with this policy. The 48 hour period after the last episode of D&V will be recorded as medical suspension. Further details can be found in the Trust’s Diarrhoea and Vomiting Policy (CORP 29), which is available on the Trust’s intranet site. Should symptoms persist beyond seven calendar days; a GP Fit Note will be required.

• Employees who leave the workplace due to sickness having completed more than half of their designated shift, will have their hours of absence recorded as paid special leave via the e-roster system, Manager Self Service on the Electronic Staff Record system (ESR) or on the Standard Variation List (SVL) system and will be discounted for monitoring purposes. Where less than half of the designated shift has been completed, the day will be recorded as sick. Any instances when employees are sent home sick having completed more than half of their designated shift should be discussed at the return to work interview and any patterns identified will be managed under the Disciplinary Policy & Rules (PERS 01).

• Where a period sickness absence is related to a disability or long term condition; the condition should have been disclosed to the employee’s Line Manager. Reference should be made to the Supporting Staff with Disabilities and Long term conditions policy (PERS 45).

Employees who undergo cosmetic surgery for non-medical reasons will not be eligible to receive occupational or statutory sick pay and options to take either annual leave or unpaid special leave should be discussed with the Line Manager.

Occupational sick pay and allowances will not be paid if an employee is absent from work due to illness or injury as a result of active participation in sport as a profession, or in cases where contributory negligence is proved. Employees who participate in such sports and activities should ensure they take out appropriate personal insurance.

6.4. Notification of informal warning (monitoring)

If the employee exceeds the standard target set out in this policy, the Line Manager will notify the employee at the return to work interview and a decision with regards to the issue of an Informal Warning will be made, this decision will be based on previous absence/s and the employees’ ability to give effective and efficient service. The issuing of an Informal Warning should be documented on the return to work form with justification for the decision. Likewise not issuing an Informal Warning should also be documented with rationale/justification on the return to work form.

The Line Manager will issue a Notification of Informal Warning Letter to the employee at the return to work interview or within seven days of the employees
return to work. This letter will set out requirements for acceptable standards under the sickness absence procedure. The employee will be advised that the warning will remain live on their record for twelve months from the date of issue and that failure to achieve the target set could result in a first written warning being issued for their unsatisfactory levels of attendance. The target will be no more than two episodes of sickness absence in a rolling six month period.

The Line Manager and employee should discuss and agree whether any of the episodes within the six month rolling period should be discounted for monitoring purposes, as defined in section 6.3.

A copy of the notification of informal warning letter must be sent to Human Resources for retention on the employee’s personal file.

6.5. Notification of formal written warnings

If the employee does not achieve the target set in the informal warning, the Line Manager will notify the employee at the return to work interview and a decision with regards to the issue of an First Written Warning will be made, this decision will be based on previous absence/s and the employees’ ability to give effective and efficient service in the future. The issuing of First Written Warning should be documented on the return to work form with justification for decision. Likewise not issuing a First Written Warning should also be documented with rationale/justification on the return to work form.

The Line Manager will issue a Notification of First Written Warning Letter at the return to work interview or within seven days of the employees return to work. This letter will set out requirements for acceptable standards under the sickness absence procedure. The employee will be advised that the warning will remain live on their record for twelve months from the date of issue and that failure to achieve the target set could result in a Final Written Warning being issued for their unsatisfactory levels of attendance. The target will be no more than two episodes of sickness absence in a rolling six month period.

If the employee exceeds the targets in the First Written Warning, the Line Manager will notify the employee at the return to work interview and a decision with regards to the issue of a Final Written Warning will be made, this decision will be based on previous absence/s and the employees’ ability to give effective and efficient service in the future. The issuing of Final Written Warning should be documented on the return to work form with justification for the decision. Likewise not issuing a Final Written Warning should also be documented with rationale/justification on the return to work form.

The Line Manager will issue a Notification of Final Written Warning Letter to the employee at the return to work interview or within seven days of the employees return to work. This letter will set out requirements for acceptable standards under the sickness absence procedure. The employee will be advised that the warning will remain live on their record for twelve months from the date of issue and that failure to achieve the target set could result in the requirement to attend a formal Attendance Hearing at which dismissal may be considered. The target will be no more than two episodes of sickness absence in a rolling six month period.
The employee has the right of appeal against the implementation of a formal warning, but must specify the grounds of their appeal by submitting a completed appeal form (Appendix 5) to the Human Resources Department within fourteen calendar days of the date of the formal warning letter. Appeals which do not set out the grounds of appeal may delay the appeal being heard.

The employee can submit a statement of case in advance of the hearing, although should one not be provided the appeal form and any additional documentation provided by the employee when lodging their appeal will be taken as their statement of case for the appeal hearing. The employee has the right to be accompanied by a Trade Union/Professional Body representative or work colleague during the appeal hearing.

6.6. Management statements of case

The management statement of case should include:

- The employee’s sickness absence record (relevant to warnings issued)
- Completed Return to Work documentation, Self-certification and GP Fit Notes
- Risk Assessments (if applicable)
- Staff Health & Well-Being Reports
- Correspondence to the employee relating to the management of sickness absence

6.7. Formal attendance hearing

If the target set out in the Final Written Warning is exceeded, the employee will be required to attend a formal Attendance Hearing at which dismissal may be considered. The employee will be informed of this requirement by their Line Manager at the return to work interview.

The Attendance Hearing will be held as soon as is reasonably practicable, but within a maximum of three months of the notification to the employee, unless prior agreement is sought with the employee and/or their trade union representative.

Human Resources will inform the employee of the arrangements for the Attendance Hearing in writing, providing at least fourteen calendar days’ notice.

The employee will be provided with the opportunity to be accompanied at the Attendance Hearing by a Trade Union/Professional Body representative or a work colleague. If the employee’s Trade Union/Professional Body representative is known, their availability to attend the hearing will be sought.

Human Resources will assist the Line Manager in preparing a management statement of case which must be provided to the employee and their representative (where known) at least fourteen calendar days in advance of the hearing.

The employee will be provided with an opportunity to submit a written statement of case to the Human Resources Department at least seven calendar days in advance.
of the hearing. In exceptional circumstances it may be necessary to reschedule the hearing. Any extension or re-scheduling requests should be submitted in writing to Human Resources.

Attendance Hearings will be heard by a Deputy Director of the Trust or a Manager of equivalent seniority with the authority to dismiss whom will act as the Chair and will be supported by a Human Resources Manager.

A copy of the employee’s statement of case will be provided to the presenting Line Manager, the Panel and the Trade Union/Professional Body representative, if it is known who will be representing, at least seven calendar days before the hearing.

The Line Manager will present the management statement of case supported by a Human Resources representative.

The requirement to attend a formal Attendance Hearing may be withdrawn by Human Resources where it is apparent a genuine error has occurred.

It may be necessary for the Chair of the Panel to agree to conduct the Attendance Hearing in the employee’s absence, for example, if the employee is not well enough to take part or if the employee does not make themselves available to attend after previous re-scheduling of arrangements. Should this be the case, the employee will be notified of this decision in writing.

6.8. Attendance Hearing Procedure

The Chair of the panel will explain the purpose of the hearing.

The Line Manager will present the management statement of case.

The Employee or their representative may ask questions of the management case.

The Panel may ask questions of the management case.

The Employee or their representative presents their case.

The Line Manager may question the employee case.

The Panel may ask questions of the employee case.

The Line Manager summarises the management case.

The Employee or their representative summarises their case.

The meeting is adjourned for the Chair to make a decision.

The meeting is re-convened and the Chair advises the employee of their decision.

If the decision is taken to terminate the employee’s employment, the employee will be advised of their right of appeal. Any appeal must be made in writing to the Director of Human Resources & Communications within fourteen calendar days of
the date of the termination letter. The Appeal against dismissal process is detailed in section 6.10 of this policy.

The Chair confirms their decision in writing to the employee, normally within seven calendar days of the hearing. In cases where the employee is represented by a Trade Union/Professional Body official, a copy of the letter will be forwarded to the Trade Union/Professional Body representative.

If the decision is taken not to terminate employment and the employee’s Final Written Warning is re-instated, any employee who subsequently exceeds the target set will be required to attend a further formal Attendance Hearing.

If the Chair hearing the case makes the decision to terminate the employment relationship, the employee is entitled to payment in lieu of notice, equating to one week for every completed year of service to a maximum of twelve weeks. In addition, any accrued but untaken annual leave will be paid.

6.9. Appeals

Appeals against formal warnings will be heard by a Human Resources Manager.

Appeals against dismissal will be heard by a panel of three. At least one panel member will be a Board Member, who may be a Non-Executive Director of the Trust. The other panel members will be taken from managers with the authority to dismiss. In addition, a representative from the Human Resources department will support the panel.

The employee will be provided with at least fourteen calendar days’ notice of the appeal hearing, including a copy of the management statement of case. If the employee’s Trade Union/Professional Body representative is known, their availability to attend will be sought.

Where an employee chooses to submit a written statement of case, this should be received at least seven calendar days before the date of the hearing.

The Chair of the panel from the Attendance Hearing will prepare a statement of case, explaining their decision to terminate employment.

All documentation will be provided to the panel hearing the appeal at least seven working days before the hearing.

The panel Chair will confirm the outcome of the appeal in writing to the employee and their representative within seven calendar days of the appeal hearing.

If the decision is taken to overturn a First Written Warning, the employee’s Informal Warning will be re-instated with effect from the date it was issued.

If the decision is taken to overturn a Final Written Warning the employee’s First Written Warning will be re-instated with effect from the date it was issued.

If the decision is taken to overturn a dismissal (or action short of) the employee’s
Final Written Warning will be re-instated with effect from the date it was issued. In cases of long term sickness absence the employee would be moved back to the appropriate stage of the policy.

6.10. Appeal Hearing process

The Chair of the appeal will explain the purpose of the hearing.

The Employee or their representative presents their case.

The presenting Manager may question the staff case.

The Panel may ask questions of the staff case.

The presenting Manager will present the management statement of case.

The Employee or their representative may ask questions of the management case.

The Panel may ask questions of the management case.

The presenting Manager summarises the management case.

The Employee or their representative summarises their case.

The meeting is adjourned for the Panel to make a decision.

The meeting is re-convened and the Chair of the appeal advises the employee of the decision.

The Chair of the appeal confirms the decision in writing to the employee, normally within seven calendar days of the decision.

6.11. Managing long term sickness absence – 29 Days onwards

When dealing with long term sickness absence, although each situation will be different in nature and circumstances, the Line Manager should be aware of their duty to act reasonably and consistently, providing support to the employee.

Line Managers should maintain regular contact with employees who are absent due to long term sickness in a supportive capacity. Line Managers are also expected to work closely with Human Resources to ensure that the employee’s expectations of the Trust are appropriately managed.

Other policies may need to be considered, including the Occupational Stress Management Policy (CORP 46) the Alcohol, Drugs & Substance Misuse Policy (PERS 42) and the supporting staff with Disabilities and Long-term Conditions Policy (PERS 45). Copies of these policies are available on the Trust intranet.

It is essential that management referrals are made to Staff Health & Well-being in accordance with section 6.17 of this policy.
If sickness absence extends to twenty nine days or more, the Line Manager will write to the employee inviting them to attend a Long Term Sickness Review. The employee may at any time seek advice/representation from their Trade Union/Professional Body representative. It may be beneficial, particularly in instances of sickness absence due to work related stress, to hold a long term sickness review prior to twenty nine days.

Long Term Sickness Reviews will be conducted by the Line Manager supported by Human Resources and should be held on a monthly basis until the employee returns to work.

Any adjustments that could facilitate an early return to work should be discussed with reference to Health and Well-being reports to determine what can reasonably be implemented.

Judgement should be exercised in respect of the appropriate timing of meetings based on the individual circumstances. For example, it may not be possible to make these arrangements if the employee is very seriously ill and could not reasonably be expected to attend. In exceptional circumstances, a telephone review may be arranged for employees unable to attend. This will be agreed following discussion with the Health and Well-being Team.

In cases where Staff Health & Well-being consider the employee unfit for their substantive duties, but fit for modified duties or an alternative role, every effort will be made to adapt the substantive role or to find suitable alternative employment within the Trust, based on the Staff Health & Well-being advice. A long term sickness review will be held in order for the Line Manager and employee to discuss if modified duties are operationally feasible. Reference should be made to the Supporting Staff with Disabilities and Long Term Conditions policy (PERS 45).

The budget for any temporary role will be discussed and agreed with the Associate Director of Operations for the relevant CBU's. Employees working in a temporary alternative role will be paid their substantive salary for the period of their re-deployment. Whilst undertaking a temporary alternative role, it may be necessary, with guidance from Health & Well-being, for the employee to demonstrate that they are making progress to enable a return to their substantive role at the end of the defined period of temporary re-deployment. In instances where the employee is unable to return to their substantive role a review with their Line Manager and referral to Health & Well-being will be required to establish if permanent redeployment should be considered because of their specific health condition. Permanent redeployment can only be considered on medical grounds.

An employee who requires re-deployment for health reasons may be considered for alternative positions in the Trust where other employees have expressed an interest / willingness to change their role to facilitate such a return to work. The employees must both have the required qualifications, registrations and skills to undertake the roles for such a transfer to be appropriate.

If absence extends beyond six months, consideration will be given to the likelihood of a successful return to work by the Line Manager and Human Resources with advice from Health and Well-being.
If it is indicated that a successful return to work is unlikely in the foreseeable future, the Trust may take the decision to refer the employee to an attendance hearing with a view to terminating the contract of employment. Consideration will be given to Staff Health & Wellbeing advice when making this decision. Reasonable adjustments will be made, where practicable, in line with the Equality Act 2010.

Should an employee not be well enough to attend an Attendance Hearing at the Trust’s premises, consideration will be given to conducting the review at the employee’s home address with agreement from the employee.

The timing of the decision to terminate employment will be made taking into account all relevant factors, but may be made before the expiry of Occupational Sick Pay.

6.12. Ill health retirement

Where termination of employment through ill health occurs and the employee may be eligible for consideration for ill health retirement benefits under the NHS Pension Scheme, the Trust will initiate an application for such benefits.

The Trust reserves the right to take the decision to terminate employment prior to receipt of the decision from the NHS Pension Scheme relating to an application for ill health retirement benefits.

The decision to grant such benefits is the decision of the NHS Pension Agency and is not determined by the Trust’s decision to terminate employment.

6.13. Work related stress

In cases where an employee is absent from work due to work related stress, the employee should be contacted by the Line Manager to arrange a mutually agreeable time to meet to complete a stress risk assessment, which can be found in the Occupational Stress Management Policy (CORP 46). Depending on the outcome of the risk assessment, temporary re-deployment may be offered, unless this is contrary to a risk assessment for exclusion or where patient / staff safety would be compromised. This may be into an established vacancy or in a supernumerary capacity until the reasons for their absence have been fully investigated and appropriate action taken under the relevant Trust policy. Pay will be protected during this period.

6.14. Phased return to work

A phased return to work may or may not be appropriate for employees returning from long periods of sickness to allow the employee to return on reduced hours / duties, gradually building back up to their contracted hours / duties.

The requirement for a phased return will be based on advice from the Staff Health & Well-being Department, subject to service need. A phased return to work maybe extended using annual leave with agreement from the Line Manager.
Should the employee feel that they are not coping with their phased return to work; they should alert their Line Manager and contact Health & Well-being for advice.

The employee will receive their normal payment as though they were fully back at work (for example unsocial hours enhancements), during the agreed phased return period.

6.15. Sickness during non-working time and annual leave

Employees whose sickness period includes weekends and/or bank holidays will be regarded as being sick on these days unless the employee and their Line Manager have agreed when they were fit to return to work and irrespective of whether they would normally work that day, this should be done at the return to work interview.

Where sickness occurs during periods of annual leave, the employee must contact their Line Manager at the earliest opportunity on the first day of sickness. Only if this notification takes place and the period is covered by the appropriate certification will the Line Manager provide approval for the annual leave to be re-arranged and taken at a subsequent date subject to the needs of the service.

Employees are not entitled to additional time off if sick on a bank holiday. It will therefore be necessary for staff that fall sick on a bank holiday, which occurs on a normal working day or rostered day of work, to deduct the bank holiday entitlement for that day from their bank holiday leave entitlement. Any hours rostered to work in excess of the entitlement will be counted as sickness.

Staff wishing to take holidays for convalescent purposes during the period of sickness absence are required to keep their Line Manager informed. This absence will be recorded as sickness. For periods of convalescence advice should be sought from Health & Well-being.

Where an employee seeks to take paid annual leave advanced notice should be provided to the Line Manager.

When sick leave coincides with planned study leave, employees should notify their Line Manager. In the case of Medical staff, when sick leave coincides with planned study leave, doctors should notify their supervising consultant (junior staff) or Clinical Director (consultant staff).

Employees who are absent from work due to sickness but are returning to work (particularly relevant to long term sickness) will accrue and may carry forward any untaken occupational annual leave from the previous leave year. This accrued and carried forward leave can be used to extend a phased return to work.

6.16. Employees with more than one contract

It is possible for employees, who have two distinct contracts with the Trust or with the Trust and a different employer / self-employed, to be incapable of working under one contract but capable of working under the other, dependent on the type of work.
If the employee wishes to work in one of their posts, they are required to inform their Line Manager who would seek advice/clearance from Human Resources and Health and Well-being. An employee’s failure to notify the Trust and obtain authorisation may lead to disciplinary action under the Trust’s Disciplinary Policy and Rules (PERS 01), which is available on the Trust’s intranet site.

6.17. **Staff health & well-being referrals**

An immediate referral should be made by the Line Manager when an employee commences a period of sickness, in which they have developed a significant musculoskeletal condition, suffered an injury which may be attributable to work or where the employee is suffering from work related or personal stress (reference should be made to the Trust’s Stress Management Policy (CORP 46)).

Line Managers should encourage employees to contact the confidential counselling service available through the Employee Assistance Programme if they become aware of an employee suffering from a stress related condition. The Employee Assistance Programme will refer employees into the Trust’s face to face confidential counselling service if deemed appropriate.

Any employee who has been absent or is expected to be absent for a period of two weeks must be referred to Staff Health & Well-being by the Line Manager,

Any employee who has had three episodes of sickness, which appear to be related, in a twelve month period should be referred to Staff Health & Well-being, by the Line Manager.

Before a case is progressed to an Attendance Hearing under the procedure for managing sickness absence (section 6.7), a referral to Staff Health & Well-being must be completed by the Line Manager. The Staff Health & Well-being report must be received prior to the Attendance Hearing being scheduled.

In the case of an employee requiring a Health & Well-being referral whilst in work and not on sick leave, this should be completed by the Line Manager.

If an employee is to have a planned period of absence, for example, in the case of surgery, it may be appropriate for the Line Manager to make a referral to Health and Well-being for guidance concerning the length of absence.

If there is a discrepancy between a fit note and a Health & Well-being report, the Health & Well-being Practitioner will endeavour to try to resolve this, for example by seeking further clarification and agreement from the GP or Consultant. However, if an agreed position can't be reached and there remains a discrepancy between the fit note and the Health & Well-being report, the Trust will take into consideration all the circumstances of the case but will usually prefer to take the advice if the Health & Well-being Practitioner.

6.18. **Additional working hours / shift allocation**

If an employee’s sickness absence is being managed under this policy, with a formal warning on file, the employee may be excluded from additional hours. This
action is deemed necessary because if the health condition of the employee renders them unable to maintain and sustain a satisfactory level of attendance in respect of their contracted hours of work, the working of additional hours is likely to be unacceptable.

6.19. Industrial injury

Employees must submit a completed Industrial Injury Assessment and Injury Allowance Application Form (Appendix 4) to their Line Manager immediately following an industrial injury in addition to reporting the incident through the Trust’s Reporting and Management of Incidents Procedure (RM06). Upon confirmation of an approved industrial injury, the Line Manager will confirm to the employee in writing whether any associated sickness absence will be accepted as an industrial injury and therefore discounted for the purpose of monitoring sickness absence.

Any accident at work must be reported through the Reporting and Management of Incidents Procedure (RM 06), which is available on the Trust’s intranet site. Failure to follow this process may result in absences resulting from an accident at work not being discounted for monitoring purposes.

Industrial Injury Allowance payment is subject to National Insurance Contributions and income tax but is not subject to pension contribution deductions. Contributory state benefits received for loss of earnings will be offset at the rate at which they are actually received by the employee. All other benefits or payments received should be ignored.

The allowance will be restricted to a period of up to twelve months per episode, and guarantees the employee will receive 85% of their normal pay.

In cases whereby the employee suffers a financial detriment due to an agreed Industrial Injury, pay protection as defined in the Organisational Change Policy (PERS 04) will apply.

The following circumstances will not qualify for consideration of injury allowance:

- Injury whilst on a normal journey travelling to and from work, except where the journey is part of their contractual NHS duties;
- Sickness absence as a result of disputes relating to employment matters, conduct or job applications;
- Injury, disease or other health condition due to or seriously aggravated by the employee’s own negligence or misconduct.

Employees who have an application for Injury Allowance refused may appeal using the Trust’s Grievance Resolution Procedure (PERS 02) within fourteen calendar days of the date of the letter confirming the outcome of their application.
7. **TRUST FAILURE TO ADHERE TO POLICY**

   This policy clearly defines roles and responsibilities, including specific timed actions, for example the issuing of warnings. Any failure to adhere to the specified timeframes will result in that action becoming null and void. This does not remove the actual sickness history from the record, or block the ability to use again should there be a further period of sickness absence.

8. **CONSULTATION**

   Consultation has taken place with the Joint Negotiating Committee (JNC) and the Joint Medical Staffing Negotiating Committee (JMSNC).

9. **EQUALITY ANALYSIS ASSESSMENT**

   Southport and Ormskirk Hospital NHS Trust recognises that some sections of society experience prejudice and discrimination. The Equality Act 2010 specifically recognises the 'protected characteristics' of age, disability, gender, race, religion or belief, sexual orientation and transgender, pregnancy / maternity and marriage/civil partnership.

   The Trust is committed to equality of opportunity and anti-discriminatory practice both in the provision of services and in its role as a major employer. The Trust believes that all people have the right to be treated with dignity and respect and is committed to, the elimination of unfair and unlawful discriminatory practices.

   **EQUALITY ANALYSIS ASSESSMENT**

<table>
<thead>
<tr>
<th>Analysis Completed By</th>
<th>S Marriner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date Completed</td>
<td>July 2016</td>
</tr>
<tr>
<td>Barriers Identified</td>
<td>Yes but controlled</td>
</tr>
<tr>
<td>Action Plan Completed</td>
<td>No</td>
</tr>
<tr>
<td>Nominated lead for Managing Action Plan</td>
<td>N/A</td>
</tr>
<tr>
<td>Completed Assessments held by</td>
<td>Policy Coordinator</td>
</tr>
</tbody>
</table>

10. **DISSEMINATION AND IMPLEMENTATION**

   The policy will be available on the Trust’s intranet site.
## 11. MONITORING COMPLIANCE WITH THIS DOCUMENT

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Measurable</th>
<th>Lead Officer</th>
<th>Frequency</th>
<th>Reporting to</th>
<th>Action plan / monitored</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring of duties</td>
<td>Job Descriptions</td>
<td>Line Manager</td>
<td>Annually</td>
<td>Line Manager</td>
<td>Line Manager</td>
</tr>
<tr>
<td>Process for maintaining contact with absent employees is followed as</td>
<td>Sickness Audit reports</td>
<td>Human Resources (HR) Manager</td>
<td>Bi-annually</td>
<td>HR Management Meeting</td>
<td>HR Business / Governance</td>
</tr>
<tr>
<td>per policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning and facility of Return to Work is undertaken as per policy</td>
<td>Sickness Audit reports</td>
<td>HR Manager</td>
<td>Bi-annually</td>
<td>HR Management Meeting</td>
<td>HR Business / Governance</td>
</tr>
<tr>
<td>Planning and undertaking workplace controls or adjustments Is undertaken</td>
<td>Sickness Audit reports</td>
<td>HR Manager</td>
<td>Bi-annually</td>
<td>HR Management Meeting</td>
<td>HR Business / Governance</td>
</tr>
<tr>
<td>as per policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Process for analysing sickness absence data is followed as per policy</td>
<td>Sickness Audit reports</td>
<td>ESR / Workforce Information Officer</td>
<td>Bi-annually</td>
<td>HR Management Meeting</td>
<td>HR Business / Governance</td>
</tr>
<tr>
<td>Arrangements for organisational overview of sickness absence is followed</td>
<td>Risk Register</td>
<td>Deputy HR Director</td>
<td>Quarterly</td>
<td>HR Business / Quality and</td>
<td>HR Business / Governance</td>
</tr>
<tr>
<td>as per policy</td>
<td>Workforce report</td>
<td>ESR / Workforce Information Officer</td>
<td></td>
<td>Safety Committee</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Finance and Performance</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HR Strategy</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Trust Board</td>
<td></td>
</tr>
</tbody>
</table>
12. REFERENCES

Equality Act 2010
Health and Safety at Work Act (1974)

13. ASSOCIATED DOCUMENTS

Line managers Toolkit Guide for Managing Sickness Absence
Disciplinary Policy & Rules (PERS 01)
Grievance Resolution Procedure (PERS 02)
Maternity, Adoption and New Parents Leave Policy (PERS 08)
Flexible Working Policy (PERS 11)
Capability Procedure (PERS 25)
Special Leave Policy (PERS 41)
Alcohol, Drugs & Substance Misuse Policy (PERS 42)
Gender Reassignment Recognition Policy (PERS 44)
Supporting Staff with Disabilities and Long Term Conditions (PERS 45)
Diarrhoea and Vomiting Policy (CORP 29)
Occupational Stress Management Policy (CORP 46)
Policy for the Reporting and Management of Incidents (RM 06)
Procedure for Maintaining High Professional Standards in the Modern NHS (MED STAFF 01)

14. APPENDICES

Appendix 1 Return to Work Interview Form
Appendix 2 Self-Certification Form
Appendix 3 Staff Health & Wellbeing Referral Form
Appendix 4 Industrial Injury Assessment & Injury Allowance Application
Appendix 5 Appeal Form
14.1. Appendix 1 RETURN TO WORK INTERVIEW FORM

TO BE COMPLETED BY EMPLOYEE FOLLOWING A PERIOD OF SICKNESS ABSENCE

Please note: this form must be completed for all sickness absence, regardless of length (including part days). This form is to be completed by the employee as soon as possible following their return to work and brought to the return to work interview with your Line Manager. By completing this form you the employee are confirming that you have fully completed the Trust Self Certificate (Appendix 2) and given it to your Line Manager along with any other appropriate information e.g. G.P. Fit Note/s.

<table>
<thead>
<tr>
<th>Questions</th>
<th>Responses</th>
<th>Actions or comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Did you comply with the Management of Sickness Absence Policy in relation to reporting and certification procedures?</td>
<td>Yes / No / Not sure</td>
<td>If your response is no or not sure please check the policy or speak to your line manager or HR</td>
</tr>
<tr>
<td>2. Has your line manager identified any trends in your absence? For example, frequently absent on Monday's or always absent following a period of annual leave or always absent when working nights? (Please detail)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Do you understand the Trust’s sickness absence targets?</td>
<td>Yes / No / Not sure</td>
<td>If your response is no or not sure please check the policy or speak to your line manager or HR</td>
</tr>
<tr>
<td>4. Have you exceeded the sickness absence targets?</td>
<td>Yes / No / Not sure</td>
<td>If your response is no or not sure please check the policy or speak to your line manager or HR</td>
</tr>
<tr>
<td>5. Have you carried out any work (paid or Unpaid) for this Trust or another employer during this period of sickness absence?</td>
<td>Yes / No</td>
<td>If yes please provide details and how the work was approved?</td>
</tr>
</tbody>
</table>

Your responses to the following questions are to assist your manager in assessing whether additional support may benefit your health, wellbeing and attendance; please note if your manager is a Clinician they will be assessing support required from a management perspective only.

<table>
<thead>
<tr>
<th>Questions</th>
<th>If, Yes please detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Why have you been absent (nature of illness)?</td>
<td></td>
</tr>
<tr>
<td>7. Have you fully recovered? If No, what are the continuing effects of your illness?</td>
<td></td>
</tr>
<tr>
<td>8. Do you require further treatment or investigations?</td>
<td></td>
</tr>
</tbody>
</table>
9. Do you require any support?

10. Do you anticipate that you will require further absences?

11. Do you have a medical condition that is long term (more than 12 months) and does have a substantial impact on your activities of daily living?

I DO / I DO NOT (please delete as appropriate) wish to be referred to the Health & Wellbeing Service.

Employee Signature: …………………………………………………    …….    Date: ………………………..

TO BE COMPLETED BY LINE MANAGER

<table>
<thead>
<tr>
<th>Questions and statements to assist in monitoring</th>
<th>Yes</th>
<th>No</th>
<th>If YES, please provide additional information and rationale.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has the absence been closed on ESR and e-roster?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is this absence related to a previous absence?</td>
<td></td>
<td></td>
<td>If yes, are both absences to be regarded as one episode?</td>
</tr>
<tr>
<td>Is this absence to be discounted for the purpose of monitoring?</td>
<td></td>
<td></td>
<td>If yes please state reason/rationale</td>
</tr>
<tr>
<td>Have standards of attendance been met (not exceeded two absences in a rolling 6 month period?)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notification of Informal Warning / First Written Warning Final Written Warning / Attendance Hearing to be Issued?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If standards of attendance have not been met and a Warning has not been issued, please give reasons / rationale.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Additional notes / comments

Managers signature………………………………………………………    Date ………………………..
14.2. Appendix 2 Self-Certification Form

Self-Certification Form
(to be completed for days 1 to 7 of sickness)

<table>
<thead>
<tr>
<th>Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
<td></td>
</tr>
<tr>
<td>CBU</td>
<td></td>
</tr>
</tbody>
</table>

Section 1 – Absence Details

<table>
<thead>
<tr>
<th>Date you became unfit for work</th>
<th>Date you became fit to return to work including non-working days</th>
</tr>
</thead>
<tbody>
<tr>
<td>Return to work date</td>
<td>Number of days of sickness absence</td>
</tr>
<tr>
<td>Reason for absence</td>
<td></td>
</tr>
</tbody>
</table>

Absence due to accident at work?  Yes ☐    No ☐

Absence due to accident outside of work? Yes ☐    No ☐

Section 2 – Benefits

Mark against any of the following State Benefits you have claimed in the 8 weeks prior to the start of your present sickness:-

<table>
<thead>
<tr>
<th>Sickness Benefit</th>
<th>Maternity Allowance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Any Invalidity Pension</th>
<th>Unemployment Benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Section 3 - Pregnancy

Pregnancy related absence? Yes ☐    No ☐

Expected date of confinement

Section 4 - Declaration

Employee’s signature

Date

Completed form should be forwarded to the Human Resources Department, Corporate Offices
<table>
<thead>
<tr>
<th><strong>Appendix 3</strong> Staff Health &amp; Well-being Management Referral</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Employee personal details</strong></td>
</tr>
<tr>
<td><strong>Employer</strong> Southport &amp; Ormskirk NHS Trust</td>
</tr>
<tr>
<td><strong>Date of Birth</strong></td>
</tr>
<tr>
<td><strong>Ward / Department</strong></td>
</tr>
<tr>
<td><strong>Contracted Hours</strong></td>
</tr>
<tr>
<td><strong>Home address</strong></td>
</tr>
<tr>
<td><strong>Sick pay end dates</strong></td>
</tr>
<tr>
<td><strong>Line Manager</strong></td>
</tr>
<tr>
<td><strong>HR Advisor</strong></td>
</tr>
<tr>
<td><strong>Start date of absence</strong></td>
</tr>
<tr>
<td><strong>Has the employee been advised of the purpose of the referral?</strong></td>
</tr>
<tr>
<td><strong>Is the absence:</strong></td>
</tr>
<tr>
<td><strong>Is the employee currently absent?</strong></td>
</tr>
</tbody>
</table>

**Please state reason for referral?**

**Are there any underlying performance issues?**

**Are there any work related issues?**

**Action taken to assist the employee to remain or return to work? (Include any modifications/adjustments that have been agreed)**

**Please attach job description - job description attached - Yes ☐ No ☐**

**What advice do you require from the Health and Wellbeing Team?**

- ☐ Is there an underlying medical condition affecting performance or attendance at work?
- ☐ Is the medical condition long-term and have substantial adverse effect?
- ☐ Are there any existing working conditions that may affect the employee’s health or performance?
- ☐ Is the employee medically fit to return to work in their substantive role?
- ☐ Is the employee medically fit to return to work in any other role?
- ☐ Is the employee likely to be absent for the foreseeable future (more than 2 months)?
- ☐ How long is the employee likely to be absent?
- ☐ Are there any adjustments required to enable the employee to remain in or return to work?
- ☐ Are the adjustments temporary or permanent?
- ☐ Is there any additional help or support that the Trust may provide?
- ☐ Is the employee medically fit to undertake: ☐ Shift work ☐ Night work
- ☐ Is the employee medically fit to attend a meeting related to:
  - ☐ Disciplinary
  - ☐ Capability
  - ☐ Grievance
  - ☐ Sickness absence management
- ☐ Additional questions (continue overleaf if necessary)
14.4. Appendix 4 Industrial Injury Assessment & Injury Allowance Application

<table>
<thead>
<tr>
<th>Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
<td></td>
</tr>
<tr>
<td>Job Title</td>
<td></td>
</tr>
<tr>
<td>Pay Band</td>
<td></td>
</tr>
<tr>
<td>Half pay commencement date</td>
<td></td>
</tr>
<tr>
<td>Details of injury</td>
<td></td>
</tr>
<tr>
<td>Date of injury:</td>
<td></td>
</tr>
<tr>
<td>Incident form completed?</td>
<td>Yes / No</td>
</tr>
<tr>
<td>Do you believe the injury to be work related?</td>
<td>Yes / No</td>
</tr>
<tr>
<td>If Yes – please explain why you believe the injury is work related</td>
<td></td>
</tr>
</tbody>
</table>

To be completed by Line Manager

<table>
<thead>
<tr>
<th>Has the Risk Department confirmed correct reporting of this incident?</th>
<th>Yes / No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has the Risk Department approved this injury as an industrial injury?</td>
<td>Yes / No</td>
</tr>
<tr>
<td>Date of assessment</td>
<td></td>
</tr>
<tr>
<td>Application approved?</td>
<td>Yes / No</td>
</tr>
<tr>
<td>Reason</td>
<td></td>
</tr>
</tbody>
</table>

Date confirmation of outcome sent to employee:

Completed form and copy of outcome letter to be submitted to the Human Resources Department, Corporate Offices
### APPEAL FORM

<table>
<thead>
<tr>
<th>Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Department &amp; CBU</td>
<td></td>
</tr>
<tr>
<td>Job Title</td>
<td></td>
</tr>
<tr>
<td>Pay Band</td>
<td></td>
</tr>
<tr>
<td>Effective date of written warning</td>
<td></td>
</tr>
<tr>
<td>Sanction imposed</td>
<td>First Written Warning ☐    Final Written Warning ☐</td>
</tr>
</tbody>
</table>

#### Grounds of appeal

- ☐ Sanction was too harsh
- ☐ Process was not followed
- ☐ Reasonable adjustments were not made for a disability
- ☐ New evidence is to be considered

**Are you a member of a Trade Union/Professional Body**

- Yes ☐ / No ☐

**If Yes, please state which:**

**Have they confirmed their support of this appeal**

- Yes ☐ / No ☐

**Do you wish me to forward a copy of this document to your Trade Union/Professional Body**

- Yes ☐ / No ☐

**Name & contact details of your Trade Union/Professional Body Representative:**

**Do you intend to submit a detailed statement of case?**

- Yes ☐ / No ☐

**Reasons for appeal**

**Signature**

**Date**

---

Completed form and copy of outcome letter to be submitted to the Human Resources Department, Corporate Office.