

CALDERDALE M.B.C.
INTERNAL AUDIT SERVICE
ACTION PLAN FOLLOW UP FORM

Subject of the Internal Audit Report **CORPORATE HR**

Date of Internal Audit Report **4th DECEMBER 2013**

Date of follow up form **17th APRIL 2014**

Audit Ref **XC08**

Auditor(s) **LISA HINCHLIFFE**

Date Reply Required **Within 3 weeks from the date of the attached memorandum**

ACTION PLAN FOLLOW UP FORM

Rec No.	Report Recommendations	Management Response/Proposed Action Plan	Name of Responsible Officer	Proposed Date of Action	Implemented Yes/No (If no, please give reason)
1.	Consideration should be given to consulting with Directorates regarding the SLA, and once agreed there should be evidence that directorates accept the terms contained with the agreement. Management should ensure that the SLA is kept up to date.	We have review the term of SLA which is incorrect and outdated this is been changed to HR service provision and will be internet based and reviewed on a regular basis. Details containing links to this site will be sent to Directorates.		Complete	
2.	The key contacts list should be continually reviewed and updated to ensure that correct contact details are communicated. Reference to the 'Contact List section' in the SLA should be removed.	Agreed – the key contacts list will be reviewed on a quarterly basis. In addition, reference to the 'contact list section' has been removed from the SLA and replaced with a link to the contacts list on the Intranet.		Complete	

[illegible]

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		timeliness of scanning hard copy notifications scanned into Wisdom, which will take up to 3 months. However, we have asked the Process Improvement Team within BC&PM to help review current scanning processes with the view to make these more efficient.			
7.	Management should ensure that references to new systems etc are included in existing policies and that new guidance is communicated throughout the authority.	To be actioned as part of review programme and supported by guidance roll out and communication		Identified dates throughout 2013/4/5	Noted and will comply.
8.	Management should ensure that systems are in place to ensure that appointment letters are sent out in a timely manner and filed appropriately.	HR have investigated the issues in Appendix C of the audit report and can confirm that all documents were either already available on Wisdom at the time of the audit or have subsequently been scanned in with the exception of one outstanding query. We are currently investigating this.		Complete	
9.	Management should ensure that systems are in place to ensure the HR Administration Service has verified that the correct appointment paperwork has been received prior to an appointment being made.	Please see response above to recommendation 8.		Complete	
10.	Management should ensure that distribution lists used by HR are reviewed regularly to ensure that they remain up to date and	Manager distribution for key issues will be via cascade through corporate extended leadership team (Heads of Service) whose		In place Dec 2013	Yes, reviewed on an ongoing basis. On 5 December 2013 an email was issued to all HR Managers re a group contacts

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	relevant.	PAs keep relevant circulation lists. Investigation into feasibility of creating/ keeping up to date an HR held list is considered to be too high a risk given reducing resource. has a central list that is used when writing out to directorates regarding HR matters.			email list which includes Directors/HoS (cc'd to PAs and HR Advisers)
11.	Management should consider the establishing a corporate group in order to improve communication throughout the council, including documenting some terms of reference. Alternatively a different method of taking a holistic approach to feedback received from directorates, managers and staff should be considered.	The value of this will be considered as part of the review of HR Service and future operating /delivery arrangements. Managers are consulted appropriate to any policy that is under review. EG When looking at the Domestic Violence policy, and other officers were consulted.		Review consideration during April – Sept 2014	We have recently trialled this with the 12 new and revised policies implemented from 6.4.14. We are in the process of implementing one staff corporate equality group who's remit will be to comment on draft policies to ensure we have a 'sense check' on any potential equality issues. This group is open to all staff across the Authority.
12.	In order to ensure that systems are in place to review that courses provided are those needed by the workforce, that once provided that they meet their needs and are well attended, consideration should be given to the following: <ul style="list-style-type: none"> formalising the monitoring of attendance at training events, collating evidence of training needs such as non adherence with HR policy throughout the authority, formalising the review of 	<ul style="list-style-type: none"> W/Dev are working with the HR Business Manager to improve the electronic monitoring of training via the SELIMA HR system by March 2014. HR Advisors collate evidence of training needs through non adherence with HR policy via outcomes of employee relations cases. Individuals not adhering to the HR policy are required to attend HR training. An in depth training needs analysis has taken place 		March 2014	Due to absence in w/dev team the timescale is now June 14 Yes, indepth training need carried out in CYP Directorate, AHSC

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	<p>existing training courses in order to decide whether to continue providing a course in the future and to establish what new courses need to be provided, based on for example attendance and feedback,</p> <ul style="list-style-type: none"> ensuring that evaluation forms are completed where possible and the statistics are used to inform not only future training provision as above, but to also address potential quality issues etc, ensuring that services throughout the authority are aware of the new arrangements regarding training requests i.e. the submission of 'business cases'. 	<p>across Directorates in 2013. A people development framework is now in place which identifies essential and statutory training required. The framework will be reviewed on an annual basis. Annually in November Directorate Business Cases are created based on the training needs for each Directorate and budget agreed.</p> <ul style="list-style-type: none"> A common standards toolkit has been designed to improve the quality process for branding, learning needs analysis, commissioning, e-learning, charging structure, administrative processes, evaluation and management information reporting learning and development programmes. The Workforce Development Admin Manager has attended all Director Leadership Meetings to cascade the Business Case process. A new Sponsorship Form is being designed to replace the LD1 form to provide more rigorous funding of individual development. 			<p>commissioning group set up March 14 to review AHSC learning and development offer to go live in June 14. Corporate learning and development offer under review to be in place for launch of People Development Framework.</p> <p>People Development Framework goes live late May/early June 14</p> <p>Yes, business cases are created based on training needs with agreed budget.</p> <p>This is in place and is currently being reviewed in line with Council procurement rules.</p> <p>Yes, Sponsorship Form is in design phase to be checked by legal in June 14. Go live date late June/early July 14</p>

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13.	Consideration should be given to HR carrying out some monitoring to induction programmes, including reviewing attendance at relevant training courses, such as the 'Welcome to Calderdale' course.	<p>The induction is now mandatory and there is a new starter pack for all and one for managers. Recruitment team are sending us a new starter spreadsheet. A bi-query will be run every three months, which is checked against new starter spreadsheet.</p> <p>There is a new checklist which is dated and signed off by the relevant manager.</p> <p>HR Advisors will notify Workforce Development if the induction has not been completed within the timescales.</p> <p>At the 3 month probation period a 3 three month progress interview will check that the training has been completed.</p> <p>Quarterly reports on attendance of, or completion of (i.e. for e-learning) all mandatory Corporate induction programmes to be produced; and shared with Directorates though</p>	<p>This comment is incorrect and HR Advisory would not be aware of incomplete inductions. This is a manager responsibility</p>	March 2014	<p>Bi query being run every three months and checked against new starter sheet.</p> <p>Yes, new checklist in place.</p> <p>Not implemented yet, due date June 14</p> <p>Yes, but requires scrutiny which is being carried out by ; in OD Workforce Development team</p> <p>To be in place July 14 after launch of People Development Framework</p>

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		<p>process more streamlined. The investigation will also include an assessment of the value for money and effectiveness of any such development.</p> <p>Probationary period ending reports are already available on the manager home page in Selima HR. Managers can see any direct reports whose probationary period is due to end.</p>			
16.	<p>Although it is acknowledged that reminders are generated by the system regarding Trigger Points, given the levels of non compliance with RTW and Trigger Point interviews, consideration should be given to further monitoring, and escalation to senior managers in directorates where RTW and Trigger Point interviews are not being carried out. Consideration should also be given to a system enhancement to generate reminders or prompts to managers to conduct RTW interviews.</p>	<p>This will be reviewed in light of your recommendations and what enhancements are currently available within the system and the cost of development taking account of (VFM)</p>		June 2014	<p>Trigger point – it would be a full-time job to police managers across the Council. However, consideration will be given to raise non-compliance as part of the Sickness Challenge meetings with Group Directors in particularly high areas of absenteeism.</p>
17.	<p>In addition to implementation of the proposed changes regarding ensuring that HR Advisors are aware of all long terms sickness and monitoring referrals to OH, consideration should be given to ensuring that managers are</p>	<p>Arrangements to be put in place to advise Directorate HR Advisors of referrals to OH. In practice HR Advisors work in collaboration with OH to monitor referrals. However value of manager requirement to complete Selima indicator is not</p>		From December 2013	<p>All referrals are passed to HR to determine compliance with processes and applicability as to input from OH. This process ensures that HR are up-dated on referrals.</p>

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		<p>Directorate Partners with action plans agreed where necessary.</p> <p>An induction Managers Pocket Book has been designed and will be launched by end of Jan 14.</p>			<p>Pocket book designed in trial phase to be rolled out July 14.</p>
14.	<p>Management should ensure that a consistent approach to recruitment is applied across the authority, that the required documentation is retained and that monitoring is in place to ensure compliance with agreed systems and processes.</p>	<p>To be built as part of roll out of new R and S policy , redesign of R and S processes. Training is ongoing for managers to attend, increased amount of courses due to needs of organisation. Refresher courses are being introduced in order to upskill and update managers on legislation and processes. Intranet page has been updated in order for staff to access information and relevant forms.</p>		March 2014	Yes
15.	<p>Management should ensure that all managers are made aware of the procedures in place with regards to probationary periods i.e. record keeping and documentation to be issued etc in order to ensure that probationary periods are reviewed in a consistent way across the authority in compliance with procedures. Consideration should be given to introducing a system of monitoring, for example through the Selima HR system.</p>	<p>Documentation on the Intranet will be updated to ensure it is clear to managers what their responsibility is in relation to probationary periods and sending letters. Template letters will also be made available on the Intranet for managers.</p> <p>HR will also investigate the possibility of a mail merge document to be made available via Selima HR self-service for managers to generate and print the letter for employees, making the</p>		<p>March 2014</p> <p>March 2014</p>	<p>Ongoing</p> <p>Ongoing</p>
				Complete	Ongoing

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	<p>completing the indicator on the Selima HR system regarding referral to OH, which will improve communication, and provide more useful management information.</p>	<p>considered to be appropriate for confidentiality reasons given that this data is held and managed within the OH Service. Sickness Challenge picks up these issues within each directorate and is more than adequate.</p>			<p>Sickness challenge meetings serve as case conferences and enable appropriate action points to be determined by all involved.</p>
18.	<p>With regards to disciplinary procedures:</p> <ul style="list-style-type: none"> Management should ensure that section 9 of the HR policy regarding discipline and grievance is reviewed to ensure that it is up to date and relevant; Consideration should be given to including standard templates for letters regarding suspensions and disciplinaries to ensure they include all essential information and save time for managers; Consideration should be given to including within guidance the requirement to record information regarding disciplinaries in a consistent way by utilisation of the Selima HR system; HR management should give consideration to ensuring that directorate managers are complying 	<p>To be addressed as part of the review programme already shared with Audit</p> <p>Templates will be considered as part of the provision of guidance under policy review where appropriate. However HR Advisors would expect to support suspensions and self-service templates for these circumstances are not considered appropriate</p> <p>Suitable recording will be considered as part of review of Disc process and guidance.</p> <p>Monitoring already takes place and cases are tracked in team tracker log</p>		<p>April 2014</p> <p>April 2014</p> <p>Complete</p>	<p>The Discipline and Grievance policy is currently under review. We hope to have a drafted policy available by June to consult with Trade Unions/staff. Caroline Hardy is working on this action</p>

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	<p>with disciplinary procedures by carrying out monitoring.</p>				
19.	<p>Consideration should be given to the issues identified in the report to determine whether:</p> <p>a) processes should be introduced to monitor compliance; and/or</p> <p>b) arrangements should be reviewed; and/or</p> <p>c) additional guidance or training should be provided.</p>	<p>Having investigated this, it has been identified that the key issue is around the timely scanning of documentation into the Wisdom system against the employee's personnel file. As mentioned in recommendation 6 above, HR is in the process of undertaking work with support from the Process Improvement Team to try and address this issue.</p>		April 2014	<p>Process Improvement Team contacted and in their opinion the process is adequate. Extra rotas now in place for scanning sessions, therefore backlog reduced.</p>
20.	<p>Management should ensure that performance management plans, targets and indicators are up to date, relevant and are monitored in line with corporate requirements.</p>	<p>A full review of all HR items within the MAD system is already being undertaken, once updated they will be monitored in line with corporate requirements.</p>		Complete	
21.	<p>Management should use the recommendations in this report as the basis for an Action Plan which should be monitored as appropriate.</p>	<p>HR SLT accept this and where appropriate recommendations will be used as part of the service action plan.</p>		Complete	

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Date

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Service Manager's signature

Service Manager's name (in block capitals)

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Date

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