

Finance and Resources Committee 17 March 2010

Human Resources Workplan 2010 - 2011

Executive Summary and Recommendations

Introduction

This paper sets out the Human Resources Department workplan for the coming financial year and covers the Human Resources and Partners functions.

Decision

The Committee is asked to agree the attached Human Resources workplan.

Background information

This document is intended to support the HPC strategy and sits alongside other departmental strategy documents and workplans.

Resource implications

The resource implications of the attached document are assumptions which are already part of the HPC budget for 2010 - 2011.

Financial implications

The attached paper's assumptions are all accounted for in the current version of the HPC budget for 2010 - 2011.

Appendices

None

Date of paper

2nd March 2010

Human Resources Department 2010 – 2011 Workplan

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Introduction

This document sets out the work priorities of the HR Department for the financial year April 2010 – March 2011. It addresses how the department will progress over the next year to support the HPC’s business strategy and objectives, to encourage high employee and partner performance, and to support the HPC’s positive working culture and commitment to continuous improvement. The organisation is growing and as with previous years, there will be a focus on recruiting employees and partners with the appropriate competencies to fulfil all roles.

Staffing Resources

The Human Resources Department consists of the following posts:

HR Team

Teresa Haskins	Director of Human Resources
Rachel Watson	Human Resources Manager
Sam Ha	Human Resources Co-ordinator (on maternity leave)
Marche Wilson	Human Resources Administrator (secondment to cover Sam Ha’s maternity leave)

Partners Team

Kathryn Neuschafer	Partner Manager (part time)
Deborah Dawkins	Partner Co-ordinator
Hanna Crease	Partner Administrator

A second partner administrator post has been included in the 2010 – 2011 budget. This new post will be essential to the implementation of an adequate partner appraisal system.

The **Director of Human Resources** is responsible for the overall management of the HR and partner functions, and the development and implementation of HR and partners strategies, workplans, policies and projects.

The **Human Resources Manager** is responsible for the whole range of operational human resources services including recruitment, management of sick leave, management of conduct and capability cases, higher level HR database management, and providing an advisory service to managers and employees.

The **Human Resources Administrator** provides support for employee management functions including co-ordination of recruitment and training, conducting inductions and exit interviews, dealing with first line queries and maintaining database and filing systems.

The **Partner Manager** is responsible for the day to day management of the partner team and ensuring that the partner budget and partner objectives in the HR workplan are delivered to schedule. Her duties include reviewing and implementing partner policies and procedures and working closely with departmental managers who make use of partners.

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The **Partner Coordinator** is responsible for coordinating the recruitment, selection, training and performance management of partners and ensuring that partner processes are run effectively and in accordance with policies and good practice.

The **Partner Team Administrator** is responsible for the administration and customer service to partners for recruitment, selection, training, appraisal and assessment. She also maintains the partner databases and data sources.

Budget Management

The department manages both the human resources budget and the partner budget. The human resources budget for 2010 – 2011 totals £516,133. Headline areas consist of £40,000 for organisation wide training, £25,000 allocated to legal expenses for employment related matters and £190,000 for organisational recruitment.

The partner budget of £387,919 largely consists of provisions for partner recruitment and training. Two significant sums forming part of this figure are £47,225 allocated for partner recruitment, and £224,442 for training.

Human Resources activities in 2010 - 2011

The following paragraphs summarise the main employee and partner activities for the coming year.

Employees

Recruitment, selection and induction will continue to form a significant part of the department's workload. Employee numbers now total 131 and along with vacancies which arise as a result employee turnover, there are 9 new permanent posts requested in the 2010-2011 budget.

- Management Accountant 1
- Partner Administrator 1
- Lead Case Manager 1
- Scheduling Officer 1
- Case Support Officers 3
- Hearings Officer 1
- Case Manager 1

Total 9

Review of Pay Policy and Process: Planning, communication with employees and line managers and implementation of a new pay system in time for April 2011 will take up a significant amount of the HR Director's and the HR department's time in the coming financial year.

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Support, advice and training for managers and employees will continue to occupy the team. There are training requirements in a number of areas (for example some in house HR training, project training for project leads, management development training).

Completion of an **employee engagement survey** and taking appropriate action based on the results is another key objective for 2010 – 2011.

There will always be challenging **employee relations** issues to deal with in any HR department including occasional management of employment tribunal claims. It is important that the department retain the flexibility and ability to respond to these as required and ensure fairness and consistency in the application of human resources procedures across the business.

There are various **ongoing activities** that are part of the employee section of the human resources plan every year including:

- annual job description updates
- review of employment policies and practices to ensure best HR practice and legal compliance
- conducting exit interviews and analysing findings
- managing the annual performance review process in the final quarter of each year.
- Informing and consulting with employees about employment related issues

Partners

The core functions of **recruitment, selection and training** will continue to occupy the majority of the partner team’s resources in 2010-2011. Replacement recruitment is anticipated across the Visitor, Panel Member and Registration Assessor roles and additional Fitness to Practice partners will be recruited to accommodate the increased activity in this area. Refresher training, which partners normally undergo every two years, will take place for all roles which fall due in 2010 - 2011.

Partner **appraisals and assessment** will be taking on an increased focus. The panel member appraisals will continue to be rolled out and the appraisal process for Visitors and Registration Assessors will be implemented.

In 2010-2011 80% of all partner agreements are due for renewal. Panel Member and Panel Chair **reappointments and agreement renewals** for other categories of partners are key objectives for the first half of the year.

The **partner systems review project** will also be a key objective for the Department.

Employees and partners

In both the employee and partner areas of the human resources department, we will continue to undertake various actions for the organisation wide **Equality and Diversity Scheme**.

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Human Resources Objectives in 2010 - 2011

We have identified the following objectives for the financial year 2010 – 2011. Unless stated otherwise the timescale is on-gong throughout the year.

Employees Objective 1: Facilitate Employee Engagement

- Carry out an employee engagement survey (last survey carried out in 2008) and take appropriate action in response to the findings.
- Continue to provide support and advice to the new Employee Consultation Group.
- Continue to carry out exit interviews with leaving employees, report on trends and take appropriate action in response to key trends

Employees Objective 2: Support Training and Development

- Improve central co-ordination and provision of training and development including development of an organisational training plan to include shared learning needs, evaluation and training indicators (training spend per employee, no of days training per employee)
- Investigate and implement a practical programme of management development for line manager's people management, coaching and leadership skills
- Continue to co-ordinate annual training on diversity, appraisals and IT skills

Employees Objective 3: Improve Pay Processes and Policies

- Design a new pay system, plan implementation, communicate with employees and line managers about the system, train line managers and implement the new system within the required budget in time for the April 2011 pay review (by January 2011)

Employees Objective 4: Ensure Best Practice and Legal Compliance

- Continuously review employment policies and practices to ensure that they comply with current legislation and best HR practice
- Continue to provide HR advice to managers to enable them to get the best out of their people

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Employees & Partners Objective 5: Demonstrate Commitment to Equality and Diversity

- Work with and advise the Diversity Working Group on specific projects
- Continue to provide diversity training to all new employees and partners
- monitor and report on employee and partner diversity statistics

Partners Objective 6: Revise and improve the partner agreement prior to issuing it to all partners whose agreements expire in 2010-2011

- Gain Finance and Resources Committee and Council’s approval for the proposed changes to the partner agreement
- Issue revised agreements to partners whose current agreements are due to expire (by 4th June)

Partners Objective 7: Manage Refresher Training to all partners who are due to be retrained in 2010-2011

- All Panel Members, Panel Chairs and Legal Assessors
- 80 Visitors
- Registration Assessors – Practitioner Psychologists

Partners Objective 8: Manage Partner Recruitment and Induction for the following partners:

- Lay and profession specific Panel Members, Legal Assessors
- Visitors
- Registration Assessors

Partners Objective 9: Administer Partner appraisals and performance management as follows:

- Appraisals for 10 Panel Members per month
- Appraisals for 5 Registration Assessors per month from July 2010
- Visitor Appraisals across 4 Annual Monitoring Days and 23 visits (April – July 2010) plus further Annual Monitoring Days (October 2010 – March 2011) and Visits (Sept – March 2011)
- Roll out the FTP partner reappointment process and evaluate its effectiveness (by 30 April)
- Evaluate the effectiveness of Panel Member appraisals and make recommendations for improvements

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Partners Objective 10: Partner Systems Review Project Stage 1

- Complete stage one of the Partner Systems Review major project by carrying out a review of all partner data sources across departments (Partners, Fitness to Practice, Education, Registrations and Finance) and identifying and designing a solution to eliminate issues identified (April to November 2010)

Partners Objective 11: Improve Communications with Partners

- Review information provided on the partner web pages and investigate the potential for other forms of communication with partners such as a newsletter

2011 - 2012

Employee and partner numbers are likely to increase in 2011 - 2012, which will lead to further recruitment and training in both areas.

One of the main objectives for the HR function in financial year 2011 – 2012 is likely to be a review of the effectiveness of a new pay system, and possibly further work on refining pay and performance management systems. Further development of organisational training and management skills is likely to be needed, building on work done in 2010 -2011.

A major area of work for the partners team will be carrying out Stage 2 of the partner Systems Review Project. In addition the team will continue to review partner appraisal processes to ensure they are an effective tool, and build on partner communications work commenced in 2010 - 2011 Partner refresher training will continue across all roles.

Human Resources Activities in the Past Year 2009 - 2010

The HR team underwent a period of significant change during the financial year 2009 – 2010 with staffing changes in all three roles. A new Director joined the HPC in April 2009, a new HR Manager in November 2009 and a new HR Team Administrator in February 2010. In spite of these changes the HR team managed to deliver the full range of operational functions, make service improvements and identify key requirements for policy and process change.

The Partner team's main areas of focus in 2009-2010 were partner recruitment and training, particularly for Continuing Professional Development (CPD) Assessors across eleven professions. In addition the team started to administer panel member appraisals, as well as identifying major areas for improvement such as partner agreements, renewal processes and data systems.

A review of the eight major objectives for 2009- 2010 is set out below.

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Employees Objective 1: To continue with our agreed development and implementation of a pre-existing agreement under the Information and Consultation of Employees Regulations (2004).

This objective was fully achieved as follows:

- An Employee Consultation Group has been set up to operate under the terms of a pre-existing agreement. The agreement has been finalised, employee representatives have been trained, and the group has met three times.

Employees Objective 2: To progress and build on the provision of organisational training

This objective was partly achieved as follows:

- We continued to co-ordinate annual training on diversity and appraisals;
- We took over responsibility for arranging organisation-wide IT training (this was previously managed in the IT department).

Work on management development was not progressed due to employee turnover within HR and the need for the Director to focus on the more pressing need of reviewing the pay system.

Employees Objective 3: To maintain and improve our levels of Customer Service to managers and employees

This objective was fully achieved as follows:

- We worked with the IT department to design and introduce an electronic system for new starters to replace paper forms
- We have continued to carry out exit interviews with leaving employees and assembled an annual report on trends

Partners Objective 4: To address partner training needs

This objective was fully achieved as follows.

- All newly appointed CPD Assessors and Panel Chairs were trained
- All new Partners for the new professions of Practitioner Psychologists and Hearing Aid Dispensers were trained
- All new Panel Members for the professions of Arts Therapists – Music and Paramedics were trained
- 180 Registration Assessors attended one day refresher training
- Refresher training was held for some Panel Members and Visitors and all Legal Assessors

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Partners Objective 5: To recruit and select the numbers and types of partners required for the HPC to perform its functions.

This objective was fully achieved as follows.

- CPD Assessors were recruited for eleven professions to enable assessment of all required CPD profiles as they fell due by profession.
- All partner roles required in anticipation of the on-boarding of Hearing Aid Dispensers were filled.
- Practitioner Psychologists targeted by role and modality were recruited to cover specific shortages.
- Recruitment was undertaken in the following roles as a result of resignations or to increase partner numbers; Panel Chairs, Registration Assessors; Prosthetists and Orthotists and Clinical Scientists-Clinical Physiology.

Partners Objective 6: To ensure that the HPC is fulfilling best practice in terms of performance management of partners

This objective was partially achieved as follows:

- 50 Panel Members were appraised.
- A process to assess Panel Members and Chairs prior to reappointment was approved by Council and will be rolled out in 2010
- No Visitors or Registration Assessors were appraised due to insufficient resource in the Partners function. An additional post has been requested in the 2010-2011 budget to address this issue.

Partners Objective 7: To better manage our resources internally and potentially provide a better customer service externally to our partners.

This objective was fully achieved (other than investigation of partner communications which slipped due to lack of capacity, but which will be carried out in 2010-2011)

- A proposal to scan all paper based partner files into a database was explored and rejected in favour of developing a proposal for a major project to review partner data sources and develop an integrated solution
- Paper based filing systems were reviewed and are being restructured to improve information access and retrieval
- A system to monitor numbers and reasons for partner resignations has been implemented
- a succession planning exercise was conducted by writing to all partners and asking them if they anticipated leaving their roles within the next three years.

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Employees and Partners Objective 8: To ensure that we fulfil our obligations under the overall Equality and Diversity scheme

This objective was fully achieved as follows:

- The rolling programme of diversity training for all new employees continued;
- Work with the Equality and Diversity Group continued
- An analysis of employee and partner diversity statistics was presented to the Finance and Resources Committee in July 2009
- Improvements have been made in the process for capturing diversity information from both applicants, employees and partners
- All new Panel Chairs, Panel members and Visitors underwent Equality and Diversity training.
- By the end of March 2010 we will have set up a timetable to ensure that Equality and Diversity training is included in partners' refresher training at appropriate intervals.

Risk Management

The Human Resources Department manage risks within the HR department and throughout the HPC in relation to overall employee and partner management.

Key areas are recruitment and health and safety for both employees and partners. Within the employee risk management area are issues such as turnover, skills development, managing employee performance matters and ensuring compliance with employment legislation.

Please see the Appendix 1 for the HPC Employees and Partners risk assessments

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Appendix 1

HR (Employees) RISK ASSESSMENT February 2010

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations February 2010	Likelihood before mitigations February 2010	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation February 2010	RISK score after Mitigation September 2009
11	HR	11.1	Loss of key HPC employees	Chair, Chief Executive and EMT	4	4	16	Chief Executive succession plan held by HR Director. Succession planning generally.	Departmental cross training (partial or full) and process documentation		Low	Low
		11.2	High turnover of employees	HR Director	3	2	6	Remuneration and HR strategy	Regular performance reviews	Exit interview analysis	Low	Low
			Links to 11.3									
		11.3	Inability to recruit suitable employees	HR Director	2	2	4	HR Strategy and adequate resourcing of the HR dept	Careful specification of recruitment adverts and interview panel selection	Hire skilled temporary staff in the interim	Low	Low
			Links to 4.10, 6.1, 11.2, 11.8									
		11.4	Lack of technical and managerial skills to delivery the strategy	Chief Executive	4	3	12	HR strategy and goals and objectives (buy in the skills v staff upskilling on the job v training)	Training needs analysis & training delivery.	Some projects or work initiatives delayed or outsourced	Low	Low
			Links to 1.1									

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations February 2010	Likelihood before mitigations February 2010	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation February 2010	RISK score after Mitigation September 2009
		11.5	Health & Safety of employees	Chief Executive & Facilities Manager	5	4	20	Health & Safety Training, policies and procedures	H&S Assessments (Lawrence, Webster Forrest).	Personal Injury & Travel insurance	Low	Low
			Links to 4.9, 6.3									
		11.6	High sick leave levels	EMT	2	3	6	Adequate staff (volume and type) including hiring temporary staff	Return to work interviews and sick leave monitoring	Regular progress reviews	Low	Low
		11.7	Employee and ex-employee litigation	HR Director	4	3	12	Regular one on one sessions between manager and employee and regular performance reviews.	HR legislation and HR disciplinary policies	Employee surveys, Exit Interviews	Low	Low
		11.8	Employer/employee inappropriate behaviour	HR Director	4	4	16	Whistle blowing policy, Code of Conduct & Behaviour	Other HR policy and procedures	Employee Assistance programme	Low	Low
			Links to 11.3									
		11.9	Non Compliance with Employment legislation	HR Director	5	2	10	HR Strategy	Obtain legislation updates and legal advice	HR policies and Manager training	Low	Low

HR (Partners) Risk Assessment

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations February 2010	Likelihood before mitigations February 2010	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation February 2010	RISK score after Mitigation September 2009
6	Partners	6.1	Inability to recruit and/or retain suitable Partners	Partner Manager	4	4	16	Sound recruitment strategy. Training	HR Strategy: Appropriate compensation package in place.	Regular appraisal system	Low	Low
			Links to 4.10, 11.3, 7.3, 18.1									
		6.2	Incorrect interpretation of law and/or SI's resulting in CHRE review	Director of FTP, Director of Education, Head of Registration, Partner Manager	5	2	10	Training	Legal Assessors advice availability	Regular appraisal system	Low	Low
		6.3	Health & Safety of Partners	Partner Manager	4	2	8	H&S briefing at start of any HPC sponsored event.	Road Safety policy (for vehicle drivers).	Personal Injury and Travel insurance. Liability Insurance	Low	Low
			Links to 4.9, 11.5									
		6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager	4	4	16	Regular appraisal system	Regular training		Low	Low

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations February 2010	Likelihood before mitigations February 2010	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation February 2010	RISK score after Mitigation September 2009
		6.5	Incorrect interpretation of HPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager	3	2	6	Correct (robust) selection process and use of qualified partners	Effective process allocating partners to specific functions; Visits, Hearings etc	Accurate and up-to-date Partner list	Low	Low