Review of HR Controls Assurance Standards (Jan 2016)

Please note the Evidence detailed against each Criterion is not prescriptive and each participating Organisation will be required to provide evidence to demonstrate how each of the Criterion is met.

Criterion One

There is evidence of Board level accountability for Human Resources and there is a Human Resources Strategy that assists the Trust to meet its responsibilities (Corporate, Organisational, Service Directorate).

Evidence

- HR Strategy linked to Business Needs.
- Accountability Framework
- Assurance Committee Framework
- Appraisal and PDP/Staff Development Review
- Having achieved &/or planning to achieve IIP as relating to people development.
- Compliance with WTD Managers' Guidance as appropriate.
- Evidence of CIPD Qualified Staff within HR Departments.
- Evidence that HR Staff keep abreast of Employment and Legislation updates.
- Non-Executive Directors trained in legislative responsibilities. Commitment of accountability of Board in relation to Section 75 detailed in Trust's Equality Scheme

Criterion Two

The Organisation is committed to contributing and supporting the Regional HSC Workforce Planning Framework, March 2015, as it relates to their Organisation. To providing and reviewing key workforce information/data that supports Organisational Modernisation/Reform/Improvement Initiatives.

Evidence

Trusts' Workforce plans, where appropriate.

Demand/capacity analysis, identification of areas where intervention is required.

Implementation of workforce change

- ➢ Analysis of leavers.
- ➢ Analysis of Age Profiles.
- ➢ Consideration of Service Reform/Improvement Initiatives.
- ➢ Training Needs Analysis.
- ➢ Skills / Competency Requirements
- ➢ Evidence of an Organisational approach to all Organisational Change Initiatives
- ➢ Evidence of staff involvement/engagement with service change/service delivery.
- ➢ Public consultation with staff and service users on reform and modernisation initiatives
- ➢ S75 Screening of reform and modernisation initiatives

Criterion Three

All Staff are recruited and employed in accordance with relevant statutory employment legislation and mandatory requirements..

Evidence

- ➢ Recruitment & Selection Policy in place and reviewed to include all appropriate pre-employment checks incl. Access NI checks.
- ➢ SLA & SSC/KPI's in place and monitored (Payroll)
- ➢ SLA & SSC/KPI's in place and monitored (Recruitment)
- ➢ Safer Recruitment & Employment Audits conducted in accordance with Framework.
- ➢ Relevant policies in place and reviewed
    - o Safeguarding Vulnerable Groups (NI) Order 2007 and Vetting and Barring Scheme as amended by the Protection of Freedoms Act 2012. of where appropriate
    - o Safer Recruitment and Employment Alert Notice System where necessary
    - o Registration and Verification Policy
    - o Working Time Directive Guidance, as appropriate
- ➢ Revalidation of Staff ibn accordance with regulatory requirements.
- ➢ Evidence of Staff Induction

- ➢ Evidence of Pre-Employment Checks for Agency & Locum staff and compliance with Agency Framework.
- ➢ Record of regulatory concern alert letters and action taken in respect of alert letters

Criterion Four

The Organisation promotes Equality, Diversity and Dignity At Work for all staff in accordance with Statutory and Legislative requirements and in accordance with Best Practice.

Evidence

- ➢ All relevant policies and procedures to comply with regulatory requirements in place and reviewed:
  - o Equality Scheme
  - o Good Relations Strategy
  - o Disability Action Plan
  - o Equal Opportunities Policy
  - o Harmonious Working Environment
  - o Employment of People with Disabilities
  - o Harassment Policy
  - o Working Well Together Policy
- ➢ Evidence of training undertaken and uptake:
  - o Equality & Diversity
  - o Harassment
- ➢ Recording and monitoring of grievances, disciplinaries, investigations, and actions taken/lessons learned.
- ➢ Evidence of review of all Industrial Tribunals lodged and category of same.
- ➢ Good Relations Strategy.
- ➢ Equality Scheme, Section 75 Action based Plan, Disability Action Plan and any other Policy as appropriate

Criterion Five

The Organisation actively promotes Health and Wellbeing of Staff and sickness absence is effectively managed and reviewed against Organisational and Departmental targets. It takes account of the need to support employees working longer and facilitates this in a managed way.

Evidence:

- ➢ Health & Wellbeing Programme/Action Plan is in place and evidence of up-take.
- ➢ Attendance Management Protocol is effectively managed and evidenced by:
    - o Numbers of Case Management meetings
    - o Ill Health Retirements / Terminations
    - o Disciplinaries
- ➢ Evidence of consideration of Reasonable adjustments.
- ➢ Employment of People with Disabilities Policy and Reasonable adjustment Guidelines for Managers available for staff
- ➢ Evidence of access to and update of OHS/Counselling Services
- ➢ Evidence of WLB policies and Update of same
- ➢ Evidence of staff survey and associated action plans.
- ➢ Benchmarking of Absence rates.
- ➢ Monitoring of absence rates against Departmental target and evidence of proactive measures to promote staff health and well-being.
- ➢ Evidence of use of available toolkits to support and facilitate staff working longer.

Criterion Six

The Organisation has in place an up to date Employee & Management Information System to enable it to inform the Organisation in decision making.

Evidence:

- ➢ Organisations will work towards full deployment and full utilisation of HRPTS (MSS & ESS)
- ➢ HRPTS training needs have been identified and training is provided by trained practitioners as appropriate.
- ➢ Managers have access to and utilise a Suite of HRPTS Reports to assist in decision making.
- ➢ All the Organisations records, as they relate to employees, are held manually / electronically.
- ➢ The Organisation has policies and procedures in place relating to:
- ➢ Data Protection
- ➢ Records Management and Retention

- ➢ Records in transit
- ➢ HRPTS functionality is being maximised and benefits realised.

Criterion Seven

The Organisation has in place a Learning & Development Strategy/Programme/HR Strategy committed to supporting staff at all levels in the Organisation in acquiring and developing skills and knowledge to carry out their work safely and effectively and to achieve their full potential through career and personal development.

Evidence:

- ➢ Learning and Development Strategy
- ➢ Learning & Development Portfolio
- ➢ Values and Engagement evidence.
- ➢ Leadership Development Programme
- ➢ Statutory & Mandatory Training Policy and evidence of uptake.
- ➢ Appropriate Education programmes for all groups of staff.
- ➢ Induction & Appraisal Policies
- ➢ Assistance to Study Policies
- ➢ Evidence of supporting continuing professional development and expenditure on staff development
- ➢ Evidence of support for innovation and change management/quality improvement.

Criterion Eight

The Organisation has in place a Staff Engagement process for involving staff and their representatives in planning and delivering services. An Industrial Relations structure and strategy is in place to best facilitate Consultation and Negotiation with Trade Unions.

Evidence:

A Communication/Engagement strategy as appropriate

- ➢ An effective Organisational Industrial Relations Framework is in place to facilitate consultation and negotiation with Trade Unions and Professional Bodies.
- ➢ Evidence of Organisational Committee Structures and minutes of same.

- Evidence of a Facilities Agreement in place and monitored.
- Records in place of any Industrial Action activity/disputes.
- Human Resource Management of Change Process
- Public consultation of change of service involve Unions and all feedback is considered by Trust Board