

Finance and Resources Committee 17 March 2011

Human Resources Workplan 2011 - 2012

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's strategy, aims and objectives and sits alongside other departmental strategy documents and workplans.

**Resource implications**

The resource implications of the attached document have been incorporated into the HPC budget for 2011 - 2012.

**Financial implications**

The attached paper's assumptions are all accounted for in the current version of the HPC budget for 2011 - 2012.

**Appendices**

None

**Date of paper**

4 March 2011

# Human Resources Department 2011 – 2012 Workplan

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## Introduction

This document sets out the work priorities of the HR Department for the financial year April 2011 – March 2012. It addresses how the department will progress over the next year to support the HPC’s business strategy and growth, to encourage high employee and partner performance, and to support the HPC’s positive working culture and commitment to continuous improvement. A major focus of the department’s work will be preparation for the transfer of regulatory functions from the GSCC to the HPC, currently anticipated to take place on 1<sup>st</sup> April 2012.

## Staffing Resources

The Human Resources Department consists of the following posts:

### HR Team

Teresa Haskins	Director of Human Resources
Georgia Akuffo-Kumih	Human Resources Manager (maternity cover)
Rachel Watson	Human Resources Manager (on maternity leave)
Sam Ha	Human Resources Co-ordinator (part time)

### Partners Team

Kathryn Neuschafer	Partner Manager (part time)
Deborah Dawkins	Partner Co-ordinator
Eva Nordstrom-Amy	Partner Administrator
Marche Wilson	Partner Administrator (part time)

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 co-ordinator** 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 Administrators** are responsible for the administration and customer service to partners for recruitment, selection, training, appraisal and assessment. They also maintain partner databases and data sources.

## Budget Management

The department manages both the human resources budget and the partner budget. The human resources budget for 2011 – 2012 totals £451,779. Headline areas consist of £60k for organisation wide training, £28k allocated to legal expenses for employment related matters and £94k for organisational recruitment.

The partner budget of £407,965 largely consists of provisions for partner recruitment and training. Two significant sums forming part of this figure are £43,970 allocated for partner recruitment, and £221,490 for training.

## Human Resources activities in 2010 - 2011

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

### Employees

It is anticipated that **Recruitment, selection and induction** will form a less significant part of the department's workload than in previous years. Employee numbers now total 143 and along with vacancies which arise as a result of employee turnover, there are 4 new posts requested in the 2011-2012 budget.

- Hearings Manager, FTP 1
- Hearings Officer, FTP 1
- Compliance Officer, FTP 1
- HR Manager (part-time), HR 1

Total 4

Additional posts arising as a result of work generated after the GSCC transfer cannot be filled until early in the financial year 2012/13.

The most significant area of work for HR in 2011/12 will be the **employment aspects of the transfer of the GSCC's regulatory functions to the HPC**. Activities including communication and consultation with affected employees, analysis of GSCC terms and conditions of employment and identification of alternative pension arrangements, and planning and implementation of any redundancy selection processes to take place after the transfer date will take up a significant amount of the HR team'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 further management development training, IT skills etc. We will also look into possible training to support employees in areas such as dealing with uncertainty and developing resilience.

There will always be challenging **employee relations** issues to deal with in any HR department. 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 processes 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
- continuous 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.
- managing the annual pay review process
- Informing and consulting with employees about employment related issues

**Partners**

The core functions of **recruitment, selection, training and partner appraisal** will continue to occupy the majority of the partner team’s resources in 2011-2012. Replacement recruitment is anticipated to be significantly less than 2010-2011 with only 24% of partner agreement due for renewal in 2011-2012.

The recruitment and training of social worker partners will be a key objective for the partner team in anticipation of regulating social workers from 2 April 2012. It is forecasted that a total of 165 extra partners will be needed to accommodate the increased activity in this area, made up of 105 social worker registrant partners and 60 additional Panel Chairs, Legal Assessors and Lay Panel Members.

Refresher training, which partners normally undergo every two years, will take place for all roles which fall due in 2011 - 2012.

Partner appraisals will continue for the role of Registration Assessor, Visitor, Panel Member and Panel Chair.

**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 2011 - 2012

We have identified the following objectives for the financial year 2011 – 2012. Unless stated otherwise the timescale is on-going throughout the year.

### Employees Objective 1: Effective management of employment aspects of the transfer of regulatory functions from the GSCC to the HPC following principles of COSOP (Cabinet Office Statement of Practice on Staff Transfers in the Public Sector)

- Communication and formal consultation with affected employees and their representatives in line with legal requirements
- Analysis of GSCC terms and conditions of employment and policies, identification of key differences and identification of alternative pension arrangements
- Planning any redundancy selection processes to take place after the transfer date
- Advising employees and managers on processes and legal requirements
- Identification and delivery of further support mechanisms and training for employees and managers

### Employees Objective 2: Support, training and development

- Improve central co-ordination and provision of training and development including development of an organisational training plan linked to business objectives which will include shared learning needs, evaluation and training indicators (training spend per employee, no of days training per employee)
- Evaluate the impact of the practical programme of management development run in 2010/11 and consider further management development
- Continue to co-ordinate annual training on diversity, appraisals and IT skills

### Employees Objective 3: Facilitate employee engagement

- Continue to provide support and advice to the Employee Consultation Group.
- Introduce a system for evaluating employee induction and joining processes
- Continue to carry out exit interviews with leaving employees, report on trends and take appropriate action in response to key trends
- Carry out an employee engagement survey and take appropriate action in response to the findings.

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**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
- Evaluate the impact of the new pay system and policy and investigate any further necessary changes

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

- Continue to provide diversity training to all new employees and partners
- monitor and report on employee and partner diversity statistics

**Partners Objective 6: Ensure that 165 new partners are recruited and trained to accommodate the transfer of the regulation of social workers to the HPC**

- 35 social worker Panel Members
- 30 social worker Visitors
- 40 Registration Assessors
- 20 Lay Panel Members
- 20 Panel Chairs
- 15-20 Legal Assessors

**Partners Objective 7: Manage partner recruitment and induction for existing professions to ensure that organisational requirements are met**

- To recruit and induct 9 registrant Visitors and 20 lay Visitors
- To ensure that any vacancies occurring in 2011-12 through contract renewal or attrition are accounted for and filled as necessary

**Partners Objective 8: Manage refresher training for all partners who are due to be retrained in 2011-12**

- 20 Legal Assessors Annual training
- 19 Panel Chairs Annual training
- 165 Registration Assessors
- 85 Visitors
- 83 Panel Members

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**Partner Objective 9: To continue to administer partner appraisals and performance management as follows:**

- Remaining 37 panel members and 6 panel chairs to complete the self-assessment process for reappointment
- 8 Panel Member appraisals per month
- 19 Panel Chairs appraised in 2011-12
- 5 Registration Assessor pairs per month,
- appraisals to be undertaken in line with visit and annual monitoring days schedules
- Managing individual partner performance issues as and when required.

**2012 - 2013**

The key objective for the HR function in financial year 2012 – 2013 will again be management of the transfer of employees from the GSCC to the HPC. The months immediately following the transfer from April – June 2012 will be a particularly intensive period of activity. Employee headcount will increase by nearly 20% from 146 to 172, generating higher on-going volumes of operational HR work.

In general the HR team will need to continuously review and develop its processes, policies and understanding of the business in order to support further growth in areas such as volunteer registers and Chinese and Herbal medicine. Specific HR plans for 2012 – 2013 include further development of organisational training and a possible review of the HPC’s appraisal system, including timing of the annual appraisal rounds and the range of competencies assessed. Preparations will also need to be made for pension scheme auto-enrolment which will apply to the HPC from 1 April 2014.

It will be essential to commence the Partner Systems review project in 2012-13 if resources have been unavailable to commence prior to that date. By 2012/13 numbers of partner roles will have increased by 25% from around 680 to 850. Managing the fitness to practise committee tenure will also take on a bigger focus to ensure that there are adequate numbers of FtP partners to cover agreement expiries in June 2015 under the eight year rule.

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## Human Resources Activities in the Past Year 2010 - 2011

The HR team underwent a period of significant change during the financial year 2010 – 2011 with staffing changes due to maternity leave in two of the three roles. A new HR Team Administrator started in February 2010 and a new HR Manager in July 2010. In spite of these changes the HR team managed to deliver the full range of operational services, deliver policy improvements in key areas and also design and implement a new pay system and policy.

The Partner team's main areas of focus in 2010-2011 were recruitment, induction, refresher training and increased emphasis on appraisals and performance management.

A review of the major objectives for 2010- 2011 is set out below.

### Employees Objective 1: Facilitate Employee Engagement

This objective was partially met:

- exit interviews were carried out with leaving employees, trends were reported on and action taken where necessary
- policy changes and new benefits such as gym membership were developed through engagement with the Employee Consultation Group.
- The planned employee engagement survey was delayed due to GSCC work

### Employees Objective 2: Support Training and Development

This objective was fully met:

- Central co-ordination and provision, and evaluation of training and development was improved through a programme of general training events delivered by external providers including QAIQ training
- A new management development programme for middle managers was designed and delivered
- The team continued to co-ordinate annual training on diversity, appraisals and IT skills

### Employees Objective 3: Improve Pay Processes and Policies

This objective was fully met:

- A new pay system and policy was designed and implemented in time for the April 2011 pay review

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#### **Employees Objective 4: Ensure Best Practice and Legal Compliance**

This objective was fully met:

- The team reviewed a range of employment policies, practices and processes to ensure compliance with current legislation and best HR practice

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

This objective was fully met:

- An analysis of employee and partner diversity statistics was presented to the Finance and Resources Committee in July 2010
- Diversity training was delivered to all new employees and partners

#### **Partners Objective 6: Revise and improve the partner agreement**

This objective was fully achieved as follows:

- The partner agreement and partner code of conduct were revised and issued to all partners whose agreements expired after June 2010.

#### **Partners Objective 7: Manage refresher training** for all partners who were due to be retrained in 2010-2011

This objective was fully achieved: a total of 263 partners received refresher training in 2010-11:

- 15 Panel Chairs, 17 Legal Assessors
- 146 Panel Members
- 15 Registration Assessors (Practitioner Psychologist)
- 70 Visitors

#### **Partners Objective 8: Manage Partner Recruitment and Induction**

This objective was fully achieved:

- approximately 89 partners will have been recruited by the end of March 2011 in line with the HPC's requirements. These partners have either already been trained, or have training scheduled for early in 2011 – 12.

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**Partners Objective 9: Continue to administer Partner appraisals and performance management.**

This objective was partially achieved as follows:

- 183 FtP partners completed a self-assessment exercise for reappointment.
- A review of the performance appraisal tool for Panel Members, Registration Assessors and Visitors was completed. The Panel Chair appraisal tool is currently being reviewed in readiness for Panel Chairs appraisals in 2011-12.
- Appraisals were for completed for 21 Partners: 23 Registration Assessors, 36 Panel Members, 12 Visitors.

**Partners Objective 10: Partner Systems Review Project Stage 1**

This objective was partially achieved as follows:

- Stage one of the Partner Systems Review Project did not commence in 2010-11 due to competing organisational project and resource priorities, but the partner team completed an operational review of all the partner processes in preparation for the project.

**Partners Objective 11: Improve Communications with Partners**

This objective was partially achieved:

- A review was completed of all information provided on the partner web page and updated versions of all documents uploaded
- Competing team priorities did not allow time to investigate the potential for other forms of communication with partners, but currently both FtP and Education partners receive quarterly newsletters issued by the relevant departments.

**Employees and Partners Objective 12: To ensure that we fulfil our obligations under the overall Equality and Diversity scheme**

This objective was fully achieved:

- The rolling programme of diversity training for all new employees continued;
- An analysis of employee and partner diversity statistics was presented to the Finance and Resources Committee in July 2010
- All new Panel Chairs, Panel members and Visitors underwent Equality and Diversity training.

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## Risk Management

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

Key areas are recruitment, training and performance management for both employees and partners. Employee risk management includes mitigations against loss of key individuals and skills, effective skills development, effective management of 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 (Partners) Risk Assessment

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 2011	RISK score after Mitigation September 2010
Inability to recruit and retain suitable Partners	Partner Manager	3	3	9	Targeted recruitment strategy.	Appropriate fees for partner services and reimbursement of expenses.	Efficient and effective support and communication from the Partner team.	Low	Low
Links to 4.10, 11.3, 7.3, 18.1									
Incorrect interpretation of law and/or SI's resulting in CHRE review	Director of FTP, Director of Education, Head of Registration, Partner Manager	2	4	8	Training	Legal Advice	Regular appraisal system	Low	Low
Health & Safety of Partners	Partner Manager	3	2	6	H&S briefing at start of any HPC sponsored event.	Liability Insurance		Low	Low
Links to 4.9, 11.5									
Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager	4	3	12	Regular training	Regular appraisal system	Partner Complaints Process & Partner Code of Conduct	Low	Low
Incorrect interpretation of HPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager	3	2	6	Correct selection process and use of qualified partners	Daily Email notification of partner registrant lapse		Low	Low
Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration	3	2	6	Regular review of availability of existing pool of partners to ensure requirements are met.	Annual forecasting of future partner requirements to ensure that they are budgetted for.	Staggered partner agreements across professions for Panel Member and Panel Chair to ensure adequate supply in line with the eight year rule.	Low	Low
User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration	3	3	9	Notification of partner resignations to user departments.	Current partner lists available to user departments on shared drive.		Low	Low

**HR (Employees) Risk Assessment**

Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations February 2011	Likelihood before mitigations February 2011	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation February 2011	RISK score after Mitigation September 2010
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 training (partial or full) and process documentation		Low	Low
High turnover of employees	HR Director	3	2	6	Remuneration and HR strategy	Regular performance reviews	Exit interview analysis	Low	Low
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
Lack of technical and managerial skills to deliver 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
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
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
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
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
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