

Caerphilly County Borough Council: HR and WF thematic review for local government

In June 2011 Caerphilly County Borough Council (“CCBC”) completed a Self Assessment (“SA”) on the HR and WF thematic review for local government which seeks to answer the question: “Does the Council have effective arrangements in place to manage and utilise its workforce?”

PricewaterhouseCoopers LLP (PwC) has been asked to review and comment on the Council’s SA. This review has been undertaken by conducting the following activities:

- Review of the evidence and HR policies provided by CCBC.
- Interviews with the following people:
 - Cllr James Fussell, Cabinet Member for HR.
 - Nicole Scammell, Head of Corporate Finance.
 - Gareth Hardacre, Head of People Management & Development.
 - Lynne Donovan, HR Service Manager, Customer Services.

A meeting was scheduled with Nigel Barnett, Deputy CE & Director of Corporate Services but unfortunately he was off sick on the two days that PwC visited the Council.

The Council’s SA and PwC’s audit and evidence is provided in detail in Annex A.

Broadly speaking, PwC has seen a body of evidence which supports the SA undertaken by the Council. Potential areas for improvement include the following:

- Although the Council has a published People Strategy, a clearly documented HR strategy and plan is required to explain and articulate how HR will support the organisation in the delivery of its People Strategy in the future, providing clear strategic line of sight through the People Strategy back to the stated objectives of the Council and demonstrating where and how value is delivered.
- The establishment of an HR balance scorecard to track HR performance against key metrics, for example, costs, service performance, client satisfaction and delivery of the HR Strategy. Whilst some of this information is available it is not organised in such a way as to make it easy for stakeholders to assess progress against HR and/or People Strategy objectives and priorities and to use this information to review and change plans.
- Tracking of benefits identified in the HR Transformation Business Case. This might be built into the suggested balanced scorecard approach or left as separate process.
- Strategic workforce planning and succession planning – implement an integrated approach to workforce planning aligned to service, financial and workforce targets. Workforce and succession planning is essential to ensure that the Council has the right skill sets in place for the future delivery of services and the basis for much of the planning of both strategic and operational HR intervention.

Annex A: Main study question - Does the Council have effective arrangements in place to manage and utilise its workforce?

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<p>Does the Council have a clear strategic vision for managing people effectively?</p>	<p>Does the Council have a current HR Strategy which is fit for purpose?</p>		<p>The HR strategy, supporting project plans and forward work plan have been established to meet the needs of the organisation in terms of cost savings, developing capacity and capability, meeting legislative requirements, identifying workforce planning needs and identifying ways in which we can make CCBC an employer of choice.</p> <p>Work around the Medium Term Financial Plan has certainly highlighted the importance of and the kind of information that fits under the HR strategy banner in order to develop a robust HR strategy. Along with issues such as workforce planning and development and sound policy development this has raised the profile and increased the understanding of what is HR strategy and the kind of headings it covers. As a result of prudent financial planning Council and senior managers are aware of the importance of a planned HR approach and how the effective management and leadership of people is key to the long term success of the organisation. The need to review budgets means managers are looking to achieve more with less via their teams and are actively reviewing what they do and how to maximise outcomes via their teams. An effective HR strategy looks to achieve this.</p> <p>CCBC has an overarching People Strategy signed off by full Council in January 2010 on which the key principles for people management are based. This supports Corporate objectives. This is a high level document beneath which sits supporting documentation such as project plans, the HR Service Improvement Plan, Workforce Strategy documents and policies. Within the Service Improvement Planning Process there is a direct link between key HR outcomes and Corporate Objectives.</p>	<p>There is a People Strategy and Work Plan for HR in place. However, the HR Strategy which would connect these two is not captured in a single document. There is a HR Strategy Development Group in place. Without a HR Strategy, that articulates how the function will support delivery of the People Strategy, it is difficult to assess a likely impact of the work plan for HR.</p> <p>There were a set of 10 improvement objectives (IO's) set out for HR for 2010/11 and 10 for 2011/12 (i) which are mapped to Corporate improvement objectives and to the agreed People Strategy for the Council.</p> <p>8 of the HR IO's for 2011/12 are mapped to Corporate IO's. All but two are mapped to a single Corporate IO – 'to deliver value for money public services' and overall HR IO's map to 4 out of 13 Corporate IO's.</p> <p>There are further projects and initiatives over and above the HR IO's listed. Annex B shows mapping and includes projects referenced in documents submitted.</p>

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			<p>A range of people have been and continue to be involved in HR Strategy. The HR team, lead by the Head of Service, develop the objectives and present potential priorities and work plans. Senior Managers and Councillors are consulted via a number of formal groups on HR strategy and development and have the opportunity to input to the shape of HR strategy for CCBC. These consultation forums include Corporate Management Team, Senior Management Team Meetings, Directorate Management Team meetings, HR Strategy Group, Trade Union JCC meetings, MIG and Cabinet.</p> <p>The Council makes HR related service decisions based on strategic HR considerations and this can be seen in policy development, HR organisational priorities e.g. development of the PDR process, competency development directly linked to Job Evaluation, employee benefits, leave of absence, coaching and mentoring development, apprenticeships and traineeships, attendance management, process streamlining etc. This is supporting by reporting to CMT, Cabinet and committees. Decisions on HR impact across all Directorates within the organisation. HR policy and procedural decisions are made on a corporate basis with the appropriate tweaks being made for schools based employees.</p>	<p>The HR Strategy Development Group includes Deputy Chief Executive, Head of HR, Deputy Leader and cabinet member for HR, AD for Adult Services, AD for Education, Head of Public Services and key members of the HR team.</p> <p>A range of papers submitted to SMT regarding People policies, HR policies and plans are included in the evidence provided and these papers are set out in such a way as to allow consideration of strategic issues as well as appropriate management of risks arising.</p>
	<p>Is the HR function an integral part of the change/transformation agenda?</p>	<p>Is HR part of the senior team leading the change?</p>	<p>The Head of HR and OD regularly attends Corporate Management team meetings, and Cabinet to provide updates and feedback on organisational HR priorities. The HR senior team work closely with Directors and Senior Managers across the organisation at a strategic level.</p> <p>The HR team are key players in change management. For example workforce planning where HR are involved from the provision of core data so managers can workforce plan through developing workforce planning and providing expertise and also positively</p>	<p>Head of HR is a regular attendee at CMT to deliver HR and safety related papers but is not a formal member. Deputy Chief Executive is the accountable Exec for HR and is a permanent member/chair of SMT.</p>

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		<p>Does the Council consider HR to be one of the drivers of change?</p> <p>Does HR directly support services going through</p>	<p>CCBC Self Assessment – July 2011</p> <p>challenging managers on change management.</p> <p>Advice and guidance is provided on options, for example on restructuring and maximising team performance.</p> <p>The HR team is a driver for change. The Job Evaluation project was one of the biggest change projects CCBC has seen and tackled a range of historic issues.</p> <p>The team are inextricably involved in restructuring and supporting managers to change they way services are delivered.</p> <p>HR directly supports service areas with these changes providing support and advice and encourage managers to consider improved and more flexible ways of working, e.g. creating generic non HGV driving posts in Refuse and Cleansing to improve workforce flexibility, shift cover and multi-skilling opportunities.</p> <p>Work around job descriptions and competency development, coaching and mentoring as well as process work such as vacancy management contributes to changing the organisational practice and culture.</p> <p>Yes. The team in education played a key role in workforce remodelling within the schools workforce remodelling exercise. Job evaluation brought about reviews of structures and the team guides managers through restructures, TUPE exercises etc. Advice and</p>	<p>PwC Audit Evidence and findings</p> <p>As above, papers submitted cover options and professional advice to CMT.</p> <p>The documentation provided includes papers on a range of HR projects including the job evaluation work.</p> <p>All Directorates Head of Service consult with HR on any re-structuring within their own Directorates. All restructuring reports have a dedicated section on personnel implications which HR input to. Evidence of this has been seen by PwC.</p> <p>Papers seen include current policies and processes and submissions to CMT on changes to these.</p> <p>Agreed and evidence provided on the areas stated in the Self Assessment plus the workforce remodelling in Domiciliary Care.</p>

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		<p>transformational change/workforce remodelling?</p> <p>Is there members' buy-in to issues around the control of shared services with bodies outside the Council?</p> <p>Does the Council have a clear vision and plans to change to new models of service delivery that recognise implications on the workforce?</p>	<p>guidance is available for managers to access regarding Organisational Redesign and Organisational Development. Further examples include support via HR in Social Services on workforce planning and development as well as ongoing work around Housing Stock Transfer.</p> <p>Evidence of members buy-in can be seen in a range of projects currently ongoing. The social services project with Blaenau Gwent to integrate the teams, the Gwent Frailty Project, Project Gwyrdd, joint working with Newport CBC on Job Evaluation, Health and Safety, Organisation Development and iTrent, training provision to Merthyr CBC and joint procurement projects. There is also an ongoing project in Education on collaboration. Opportunities for collaborative working are presented to CMT, Cabinet Member Resources and where appropriate to Cabinet and Council.</p> <p>Service development and delivery is organic. Plans are submitted via a formal consultation process to the relevant interest groups, scrutiny committees and executive decision making mechanisms. Examples of new models of service delivery include the outsourcing of homecare, increased access to Council services via the Internet and phone, increased contracting and commissioning within Social Services, the Housing Stock Transfer Project. There are HR implications in all these examples and the Council has strong process to support employees during these processes from vacancy management and redeployment through a redundancy process. An outplacement scheme is under development, support regarding employee wellbeing is strong and TUPE expertise is developing in house. New models of service delivery are supported project by project by the HR team. Workforce implications are always considered when looking at new models of service delivery. The use of technology also drives models of service delivery e.g. the</p>	<p>Papers relating to the decision not to participate fully in regional shared services but instead collaborate as detailed in this document is included in documents submitted to PwC. These papers were submitted to CMT for approval.</p> <p>Evidence of proposed changes to the delivery model for HR including implementation of iTrent is included.</p> <p>Also, as stated above, all Directorates Head of Service consult with HR on any re-structuring within their own Directorates which have implications on the workforce. For example, all restructuring reports have a dedicated section on personnel implications which HR input to. Evidence of this has been seen by PwC.</p>

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		<p>Is there a clear rationale for this (e.g. to save money or be more effective)?</p>	<p>introduction of PDA's (Portable Data Appliance) in Building services resulted in a training need, a different approach to managers managing teams (e.g. managing by outcomes rather than by the clock / presenteeism). Staff working from a home base rather than depot based</p> <p>The rationale is based on cost, efficiency and effectiveness, service delivery improvement, value for money, best practice and technological development.</p>	<p>On all of the Council's standard reporting framework for CMT, Scrutiny, Cabinet and the Council there is a dedicated section for Finances and Personnel implications.</p>
	<p>Is the council focused on achieving efficient and effective ways of working</p>	<p>Are there any examples of innovative use of the workforce to deliver services differently?</p> <p>Are new ways of working being considered?</p>	<p>The restructure of the HR service to follow an adaption of the Ulrich model as one of best practice means improved service delivery to the organisation e.g. be creating centres of expertise and operational centres who can provide best advice and efficiencies of scale. Also secondments from HR and H&S to support other organisations who need to access expertise is innovative within the region. Internally, cross directorate project teams are working on specific plans. As mentioned above the use of PDAs has led to a different way of working. A further example here is within Health and Safety, officers use PDAs to complete site audits and the result is the turn around is minutes for a report to be forwarded to the relevant manager as opposed to taking 1-2 weeks. Contractors can also access and forward reports via PDA's, which saves a considerable amount of time.</p> <p>Yes. The Council's home working scheme in the final stages of consultation, and has been approved for implementation. Cabinet has agreed the new Career Break scheme. Caerphilly has the best flexi scheme locally, which helps with reducing sickness absence and time off for medical appointments. Using technology such as PDA's to allocate workloads to prevent need to travel to and from</p>	<p>Documents submitted to PwC substantiate HR example listed.</p> <p>Also brought all red book craft employees onto the green book Terms & Conditions with changes to working practices.</p> <p>Documentation of current policies supports this assertion. Detail is provided on a range of flexible working and remote working policies and arrangements.</p>

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		<p>Is technology used to support more efficient ways of working?</p> <p>What progress has been made on changing ways of working?</p> <p>Are there links between asset management and the delivery of services and innovative use of the workforce, i.e. is the Council</p>	<p>depot to get job sheets etc. HR piloted a scheme whereby job analysts worked from home on a rota basis to significantly increase productivity while ensuring there was appropriate cover in the office. This was used as a positive example to outline the benefits of a change in working practices.</p> <p>Yes and it is critical in many cases. Some key uses for technology are the planned development and future introduction of manager self-service in iTrent, PDA's to allocate, record and report work, biometrics system for clocking in and out, IT access and availability from home.</p> <p>HR policy development has been undertaken to facilitate changing ways of working. It has been underway for some time and is coming to fruition. The Council's Workforce Strategy documentation was developed to support a changing environment. Job Evaluation work has changed terms and conditions of employment with annualised hours / bank hours systems in place in service areas that will benefit from using this approach. Examples provided above are also evidence of progress, e.g. the PDA use, generic posts being created to increase workforce flexibility etc.</p> <p>There are a number of sites that have recently been 'released' e.g. Hawtin Park with some employees moving into Ty Penallta and others being based in localities or from home. This process will continue. The Home working policy provides the opportunity to look at a range for flexible options for work.</p> <p>Social Services are working on agile working opportunities. Social workers and Occupational Therapists are also using PDAs.</p>	<p>Plans to upgrade core HR and payroll systems and move to iTrent appear well advanced.</p> <p>HR policies have been written or updated to provide a framework that supports new, more flexible ways of working. All policies are included on the Council's intranet. There is a plan to introduce a new HR portal within the next 6 months which will allow an expanded service including toolkits, advice and guidance and more interactive dialogue.</p> <p>As above, the policy framework appears to support more flexible working and there is no reason to doubt that this in turn supports more effective/flexible use of assets.</p> <p>Relocation of staff from Hawtin Park delivered a cost savings of £1/2m per annum.</p>

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		<p>considering the use of its premises in each geographical area so that service delivery methods are more efficient and the number of premises can be reduced?</p>	<p>With the closure of Hawtin Park social work teams have been relocated to localities rather than an alternative corporate office.</p> <p>Having Building Services teams being based from home there are savings costs to the organisation and employee in travelling back and forth to depots.</p> <p>As further potential cost savings are identified in terms of facilities then this activity will continue to build.</p>	
<p>Does the Council measure and review its HR function?</p>	<p>Is the Council measuring the performance of its HR function?</p>	<p>How does the Council measure the quality and consistency of HR advice?</p> <p>Are progress reports on HR's performance produced</p>	<p>Quality and consistency of advice is picked up by the HR Service Managers. The previously outposted HR teams providing operational support are now 'in-house', co-located and line managed by the HR Service Manager – Customer Services. This means the Business Partners and their teams deliver consistent guidance. Being in one place means that there are good communication channels and new or unusual cases, legislative changes and scenarios are debated and an outcome reached. Increasingly the Strategy and development team are producing FAQs and HR guidance for the team on policy and process, e.g. current work around redeployment processes, iTrent manual written internally. Meetings structures are in place to support consistency. Regular feedback is sought and provided between the team and customers at various management levels. CIPFA Customer Service survey is used as well as a customer service survey to Head teachers in terms of the service delivered under the SLA.</p> <p>Yes and presented to P&R Scrutiny as well as CMT and Cabinet. Performance Indicators are recorded in Ffynnon. There are also annual WAG performance indicators to benchmark performance on a wider scale. Regular reports are provided to CMT on sickness</p>	<p>Regular benchmarking (using CIPFA framework) against comparator authorities is undertaken and reports for a number of years up to and including 2010/11 have been reviewed. This covers a broad and appropriate range of workforce measures and HR function performance.</p> <p>Workforce information reports have also been reviewed. They are issued on a regular basis to Departments and members via the Scrutiny Committee and cover staff numbers and workforce composition, absence and turnover statistics.</p> <p>The format of workforce and HR function performance reporting from Fynnon has been reviewed on screen and hard copies of example reports have</p>

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		<p>regularly and scrutinised?</p> <p>Is there a trend?</p> <p>Are they improving as well/better/worse than elsewhere?</p> <p>Does the Council understand the story behind the performance?</p>	<p>absence data and more recently employee relations cases. Updates on projects on areas such as coaching and mentoring are also provided. HR have a range of performance indicators on which performance is measured and compared. These indicators include metrics and performance data. HR also use external benchmarks such as CIPFA and workforce data analysis and internal measures and reporting e.g. the survey of schools</p> <p>Feedback from customers is sought. The head of HR and OD visits Directorate Management Teams on a 6 monthly basis.</p> <p>There are trends to be seen. Performance is improving, e.g. organisational sickness absence is reducing, HR team performance is improving. Data quality and reporting is improving. Metrics also indicate there are significant increases in employee relations casework, which is being managed from within existing budgets and manpower. CIPFA surveys allow the team to benchmark performance against other organisations in the same sector. The indicators show an improving position but there are still opportunities to improve performance and also to add value. The view of the HR leadership team is to continue to drive up performance of the service and the organisation.</p> <p>Yes, reporting to CMT, Cabinet and Scrutiny means that those attending those forums have the opportunity to challenge and question results, sharing views and opinions on how things are progressing. When reports are presented then a narrative is provided and the figures are explained.</p>	<p>been provided and reviewed. These reports are reviewed by CMT and Scrutiny Committee.</p> <p>The Corporate Service report reviewed has a range of measures with actual performance against target, RAG rating and movement from previous period.</p> <p>Benchmark data shows an improving trend overall in line with the summary included here, both in absolute terms and comparative terms. A detailed review of the reports has not been undertaken as part of this review.</p> <p>Evidence of how performance data (both workforce and HR) is presented to CMT, Cabinet and Scrutiny has been reviewed. We have had evidence from attendees of these meetings that confirms that this information is used to inform debate and decision making.</p>

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		<p>Do they understand the barriers?</p> <p>Do they understand what will support improvement?</p> <p>Have they used this learning to improve performance?</p>	<p>The supporting reports providing background information explain the issues the team are facing regarding performance. These kind of barriers include data sources and reach – i.e. what can HR influence and what is more challenging to influence.</p> <p>Yes, again background is presented in supporting reports and the next stage of processes in order to continue to build on improvement. Also the links to other parts of the organisation are clarified in reports. HR cannot necessarily force improvement but they can facilitate it.</p> <p>The decision makers took on board the feedback that the HR structure was in itself a barrier to further improvement. There were risks and evidence that a team could end up in a silo rather than working as part of a larger team. Corporate Management Team were initially concerned a restructure of the team may remove their local support however, it has been proven that the new model is more effective. The development of expert teams such as the Strategy & Development team, Managing Attendance team, the iTrent development and Job Evaluation project team have all supported the improvement in performance.</p>	<p>The submissions to CMT on policies and other people issues reviewed by PwC include consideration of barriers, risks and issues.</p> <p>The submissions to CMT on policies and other people issues reviewed by PwC include consideration of barriers, risks and issues.</p> <p>Reports from Fynnon are used by all Directorates to improve performance. Reports will show areas that need to be improved by the traffic lights signals. Evidence has been seen on Sickness Absence and OD.</p>
	<p>Is the HR service reviewed regularly</p>	<p>Does the HR structure support and help the Council achieve its strategic vision?</p>	<p>The team are currently coming to the end of a restructure. The new model means that out-posted teams have been brought into the central team and the Ulrich business partner model has been introduced with business partners, transactional services and centres of expertise being created. Internal appointments have been made to ensure that there is capacity to develop and lead the service. The HR Service Manager appointments have increased the capacity to work with the organisation at a strategic level and the Strategy and Development team have been established to introduce</p>	<p>The business case for HR restructuring has not been reviewed (not provided). The benchmarking referenced in this document shows a positive cost and performance impact over time which supports the assertion here.</p> <p>RESTRUCTURING REPORT TO BE SENT BY LYNN</p>

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		<p>Does the Council know the minimum staff required to deliver core HR and payroll services?</p> <p>Ratio of HR staff: staff in post figures - compared benchmarks</p> <p>Do they know what skills HR staff should have to achieve the HR objectives?</p>	<p>and implement mechanisms to support the strategic organisational outcomes.</p> <p>Yes and as the team develop iTrent and reengineer processes there will be capacity to reduce the headcount in the team on the transactional side or to take on work from other organisations. Currently, workloads are demanding. This is due to working on internal processes and development whilst undertaking the 'day job' and supporting the organisation.</p> <p>See CIPFA surveys provided in evidence file.</p> <p>Within HR there are clear expectations in terms of the skills, knowledge, experience and competencies that HR staff need. There is a qualification and competency bar in place for HR Officers and a progression through the bar process for them to progress. Over the last 5 years there has been much professionalisation of the service with HR Officers being supported to complete CIPD qualifications. The Council understand the aims of professionalising the service to ensure that appropriate support can be offered to the organisation on HR matters. The skills needed are reflected in job descriptions and person specs and the competencies required to undertake the</p>	<p>Evidence that the expected benefits (as set out in the business case) are being delivered over time should be sought.</p> <p>Wait for HR Business Case. HR are using the CIPFA Benchmarking reports to monitor the efficiency of the function.</p> <p>HR are using the CIPFA Benchmarking reports to monitor the efficiency of the function.</p> <p>Yes as the skills are clearly defined in Job Descriptions. There is a Job Family in HR and an example job description has provided which includes a Person Specification and qualifications and core and management competencies that are required. This is for each level of post.</p>

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		<p>Are service level agreements in place for the delivery of HR services?</p> <p>If there have been changes to the HR structure in the last three years, what is the rationale for these?</p> <p>Is staff capacity monitored by HR HoS in order to deal with changing priorities?</p>	<p>role. PDR and 121 processes are in place for the team to review performance on an annual basis.</p> <p>There are SLA agreements in place for schools but not for other parts of the organisation.</p> <p>Yes there have been changes. In order to deliver an improved service, to make cost savings, to develop expertise and to create centres of excellence. The Ulrich model is held as best practice as it brings Business Partners closer to their customer base whilst high volume transactional functions can be streamlined. Centres of expertise introduce the opportunity to develop specialist skills within the team. The whole team work closely together in order to support managers across the organisation.</p> <p>Yes and resource is moved in order to deal with demand on the team. E.g. A Senior HR Officer and HR Officer have been moved into the Environment Directorate to support casework demands. Also the Strategy and Development team help out where needed by picking up caseload – this is also good development for the team. The team have had good success when working as project teams e.g. for the iTrent upgrade and Job Evaluation. The HoS with the HR Service Managers carefully monitor workloads and capacity.</p>	<p>The Schools SLA has been provided which sets out costs and service expectations.</p> <p>HR Business CASE TO BE RECEIVED.</p> <p>Head of HR confirmed that they do move staff from one team to another or just pick up another piece of work when a team is busy to deal with demands. Schools may have a big peak in September, and mini peaks in January and after Easter.</p>
	<p>Do HR staff have clear management and professional accountability?</p>	<p>Do HR staff have responsibility for specific service delivery areas/strategic</p>	<p>Yes Business Partners (HR Managers) have directorate management responsibilities with their teams. The HR Service Managers have responsibility for the team with the HR Service Manager – Customer Services leading the employee relations service and managing attendance team and the HR Service Manager – Operations and Strategy leading the transactional service, payroll,</p>	<p>HR Organisation charts provided show reporting lines and role profiles are clear on expectations of managers and other staff in this regard.</p>

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		<p>development activities?</p> <p>Is there a tension between reporting to HR HoS and reporting to a HoS or a Head teacher in a school?</p>	<p>strategy and development teams. Teams are clear on their roles and responsibilities and how they fit into the team. Responsibilities for objectives and outcomes are given to individuals and teams via the PDR process.</p> <p>No. The team report into the Head of HR. the rest of the organisation are HR’s customers / clients.</p> <p>The expectation of the HR leadership team is that HR employees are gatekeepers and role models in the organisation. Any issues in terms of performance or attendance etc are managed effectively.</p>	<p>A detailed evaluation of this statement has not been undertaken as part of this review.</p>
	<p>Is the HR model currently meeting the needs of the Council?</p>	<p>What model of HR service delivery does the Council use?</p> <p>Is it a centralised or devolved model or a mixture between the two?</p> <p>Is the model feasible/fit for purpose/cost effective?</p>	<p>The model is the Ulrich model. The model has recently been introduced to Caerphilly but it is working. .</p> <p>The service is centralised but by having dedicated teams they have very close working relationships with customers.</p> <p>Yes so far so good in terms of performance. High demands on the team are being handled with development work continuing in order to further develop the service.</p> <p>Benefits include covering of hours – there are people available at either end of day. There is pretty much 7am till 7pm coverage. Knowledge is shared and skills and knowledge continue to be developed. Relationships are strong with customers. Team</p>	<p>The HR structure chart is broadly consistent with the Ulrich model.</p> <p>Broadly centralised with Business Partners aligned to Directorates.</p> <p>The review of the HR organisation charts, role profiles, CIPFA benchmarking and Corporate Services report suggest that performance and costs are actively monitored.</p>

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		<p>Does HR have sufficient professionally qualified staff with a mix of skills and competencies that matches the service model?</p> <p>Do HR staff undertake line management work within services, or do they support service managers to do this</p> <p>Are service</p>	<p>development is going well with seniors developing juniors.</p> <p>An exercise was undertaken 4 years ago regarding succession planning in HR. At that time it was difficult to see where the next Senior HR officers and managers would come from. Now, the number of CIPD qualified officers has increased year on year and officers are also undertaking additional development in areas such as coaching, organisation development and business partnering. HR Assistants in the transactional team are encouraged to undertake a CPP qualification in order to effectively succession plan within in the team. A considerable amount of on the job and bespoke training has been delivered from policy work with the team to Business Partner and Organisation Development training, workforce planning training and coaching development, all of which has improved competency and skills in the team. Reviewing the exercise on an annual basis has shown that there is now a significant capacity and capability within the team.</p> <p>HR managers support managers to manage. There are occasions where they may lead on employee relations cases with inexperienced managers as a part of that manager’s development & the team also work with other Local Authorities and pieces of work with external organisations.</p> <p>Operational managers can access a range of learning and</p>	<p>There has been an increase in the proportion of staff with CIPD or equivalent qualification and an implied decrease in the level of external recruitment to posts in HR/OD over recent years although this may be driven in part by the overall reduction in headcount.</p> <p>The role profiles are clear on the skills, experience, competencies and level of professional qualification required.</p> <p>Detail on policies is generally clear on the role of the line and role of HR in relation to each issue/policy and sources of support to line managers are signposted.</p> <p>Information and guidance notes for relevant HR policies are available on the intranet and training modules for key people management processes are available. Level of attendance and satisfaction is monitored.</p> <p>Training modules for key people</p>

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		<p>managers trained to undertake line management responsibilities & first line HR actions?</p> <p>Do they have streamlined transactional HR services?</p> <p>Do services receive high quality & consistent advice within appropriate timescales?</p> <p>How does the Council measure the quality and consistency of HR advice?</p>	<p>development opportunities to support them in their roles. Also where there is a specific drive e.g. on managing attendance then specific mandatory training is implemented. 800 line managers and supervisors have undergone Managing Attendance training. Bitesize sessions on Disciplinary and grievance processes have been delivered. The next programme will be on the vacancy management process and Job Descriptions. Advice and guidance is always available to managers who want to check out whether what they are doing is appropriate.</p> <p>The service to customers on the HR transactional side is good and will further improve with self service and Phase 2 of the iTrent project. There is work to be done on streamlining the 'in-house' side of the process and this will be undertaken by the Strategy and Development team and in conjunction with the transactional team on a process by process basis.</p> <p>Yes and this has improved under the new model. Standardisation is important to the team and further work is being undertaken to continue to develop this. Work volumes are very high and the team strive to undertake processes in a timely way. FAQs and additional guidelines / scenarios are being developed to support standardisation and efficiency. There is also the Business Process Reorganisation exercise planned.</p> <p>The CIPFA Customer opinion survey is used annually. The Head of Service visits Directorate Management Team meetings 6 monthly for feedback. Our customers readily share any issues they have. Internally there are regular 121s across the team, sound meeting / communication structures and consistent HR training which all</p>	<p>management processes are available. Level of attendance and satisfaction is monitored.</p> <p>Comments from earlier reviews (Report by the Auditor General for Wales – August 2010) do highlight concerns around performance management. Work has been done to improve the process, the training of line managers and the MI that supports both since.</p> <p>SEE BUSINESS CASE</p> <p>The only client satisfaction reporting shared with PwC is a high level summary of provision to Schools, otherwise the Authority is reliant on the CIPFA Customer opinion survey.</p> <p>The reliance on the CIPFA Customer Survey (total 30 returns from managers) is not adequate.</p> <p>A high level survey on satisfaction with</p>

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		<p>Is training centralised or/and service-based?</p> <p>Are there examples of services sharing training opportunities and cascading the learning?</p> <p>Does the Council share training with partners and/or other Councils?</p>	<p>contributes to ensuring consistency and quality.</p> <p>Both. There is a corporate training programme delivered mainly by external providers. Social services have their own team funded by the SCDWP. Line managers and HoS do occasionally source their own training but mainly come to the team for advice and guidance. Some specific training is organised locally e.g. Banksman training for Refuse and Cleansing, specific training for professional groups, e.g. youth workers. Professional qualifications such as degrees and post graduate qualifications for professional posts.</p> <p>Yes, not only with the organisation but also in collaboration with external organisations. Coaching and Mentoring, Project Management, Train the Trainer, Change Management, Business Partnering training, OD training, Managing People Performance and Workforce Planning have all been delivered to internal and external customers. The HR Service Manager, Strategy and Operations and Head of Service will be involved in the delivery of a Change Management programme that will be delivered regionally (cascaded through).</p> <p>Yes we have worked with Blaenau Gwent, the Vale of Glamorgan, Cardiff, Newport, Merthyr and further activity is planned.</p>	<p>schools was conducted in December 2010. Otherwise issues are raised at six monthly service review meetings. However there appears to be limited structure to the evaluation of service quality and consistency.</p> <p>Evidence provided supports self assessment statement.</p> <p>Evidence provided supports self assessment statement.</p> <p>Arrangements for sharing training provision/opportunities are in place and working effectively as detailed in this document.</p>

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		<p>How does the Council know if they are getting value for money in training?</p> <p>Does the current model work?</p> <p>Does the model meet the needs of services?</p>	<p>CCBC training is evaluated and procured via a tender process. There is no Corporate training budget and therefore customers vote with their feet if the training does not meet expectations. We have removed providers who have failed to deliver to the level expected. Our providers have a proven track record of delivery and some are award winners.</p> <p>Yes on current volumes. Increased volumes will be challenging. The model meets service needs as not only are corporate training activities delivered but bespoke pieces of work are also facilitated e.g. refuse and cleaning team leadership development, report and letter writing for engineers, PDR training for Housing Benefits and Leisure.</p>	<p>Outside of level 1 evaluation i.e. immediate post event satisfaction and control through the tender process there is no evidence of meaningful evaluation of the effectiveness of training.</p> <p>The corporate training programme is delivered in the main by external providers and is subject a tender process. HR/OD monitor delivery performance by seeking feedback from service users and there is evidence that this feedback is acted on if service levels are not met.</p> <p>The delivery of Corporate IO's and HR IO's does lead to new or revised requirements for corporate training being identified, for example, improvements in the training provided on managing performance.</p> <p>Training needs analysis from PDR's and requests from line managers are used to shape future provision. However, this is an area where HR Strategy should be used to inform the training and development agenda.</p>
	Does the Council consider it	Does the Council have a clear plan to	This is already underway and we are approaching the end of the restructure. We will continue to review and evaluate service delivery	As set out earlier, PwC need sight of the business case for HR transformation including

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	<p>needs to change its HR service delivery to better support service transformation and more efficient ways of working?</p>	<p>change to a new model?</p> <p>Is there a clear rationale for this (eg to save money or be more effective)?</p> <p>Is the Council considering options with other Council HR services to share services?</p> <p>Are there plans</p>	<p>Yes, in order to deliver an improved service, to make cost savings, to develop expertise and to create centres of excellence. The Ulrich model is held as best practice as it brings Business Partners closer to their customer base whilst high volume transactional functions can be streamlined. Centres of expertise introduce the opportunity to develop specialist skills within the team. The whole team work closely together in order to support managers across the organisation.</p> <p>There are ongoing discussions with a number of partners and prospective partners. Collaborative work is already underway with Newport on a variety of levels and conversations are coming to fruition with other neighbours. Merthyr is ‘piggy backing’ our learning and development programmes. As CCBC is in a more advanced position with iTrent this means we can support and offer services to other organisations on the payroll and transactional HR side.</p> <p>Trent is our source of HR information along with IDOX (electronic</p>	<p>consideration of shared service arrangements in order to provide a view on these questions.</p> <p>There is already some collaboration with other parties in the arrangements for delivery of training and development. A SLA is in place with Newport Council for H&S advice and for JE support and equal pay advice.</p> <p>CMT has considered and rejected (for now) a proposal to develop shared service arrangements for payroll and/or HR administration. The business case dated October 2008 showed implementation costs of £31 million and the delay in returning any benefit until 2016.</p> <p>Evidence provided supports self-</p>

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		<p>for continuity of service during HR re-structuring including the maintenance of staff records?</p> <p>Does the HR service have the capacity & capability to manage the change?</p>	<p>filing / data management system). Continuity has been maintained during the restructuring. We are constantly updating and data cleansing in iTrent as well as developing the capacity of the system. e.g. being able to produce additional reports and take out Excel based trackers hence streamlining processes/</p> <p>Yes and this has and continues to be done. That is not to say it is not a challenging situation as there is much work to do. However, this can be achieved with the right project planning and by prioritising workloads. As noted about the capacity and capability of the team has grown significantly in the last 4 years and this gives us the opportunity to undertake the work we are looking to do.</p>	<p>assessment statement.</p> <p>Evidence provided supports self-assessment statement.</p>
<p>Are HR policies and plans in place to maximise the Council's capacity and capability?</p>	<p>Does the Council have an up to date set of key policies that are accessible to managers and consistently used?</p>	<p>Key policies include:</p> <ul style="list-style-type: none"> ▪ Attendance management ▪ Disciplinary ▪ Grievance ▪ Capability ▪ Equality/Diversity ▪ Dignity at Work ▪ Maternity and Paternity 	<p>Yes (see evidence folder)</p> <p>The redeployment process is in draft and work is being undertaken on this at the moment with a target date of 6 weeks to get it ready for the consultation processes. (This toolkit includes manager, employee and HR guidance, FAQ's policy document and flowchart). There is a project plan in place.</p> <p>The Workforce Strategy picks up on Redundancy. The redundancy selection criteria has been established. Currently not making significant numbers of redundancy. The workforce strategy covers some of this off.</p>	<p>The file provided contains policies as follows:</p> <p>Draft:</p> <p>Home working scheme</p> <p>Approved:</p> <p>Adoption leave Annual leave Assisted car purchase scheme Accident guidance Career break scheme Carer's policy Code of conduct H&S policy Disability policy</p>

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		<p>Leave</p> <ul style="list-style-type: none"> ▪ Flexible Working ▪ Training and Development ▪ Lone working ▪ Health and Safety ▪ Redundancy and Redeployment. <p>Do the managers know</p>	<p>Yes they are available on the Intranet or via the team. As policies are reviewed and rewritten then they are simplified if possible. The</p>	<p>Disciplinary policy Domestic violence policy Employment of ex-offenders Employment wellbeing Excess travel Equal opportunities Fair retirement Flexible working First aid Grievance procedure Immune deficiency Inclement weather Induction policy Job share policy Learning and development policy Leave of absence Making reasonable adjustments Managing job performance Managing sickness Maternity policy Mileage policy Parental leave scheme Paternity leave Performance development review Age diversity policy Recruitment and selection policy Redundancy scheme Substance misuse policy Violence at work policy</p> <p>Access via the intranet is taken as fact.</p>

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		<p>where to find them, are they considered to be easy to use?</p> <p>Is training, coaching available to staff/managers on use of policies?</p> <p>Does the Council know if the policies & procedures are being followed?</p> <p>Does HR monitor the use of the policies/ procedures and their effectiveness?</p> <p>What HR metrics are</p>	<p>team are also developing manager toolkits to sit on the new employee portal.</p> <p>Yes. – see above re some of the interventions re attendance and disciplinary and grievance. The next training to be rolled out is on vacancy management / job descriptions and using competencies. This will be followed by training on how to undertake investigations.</p> <p>Yes as where they are not followed this gets back to the HR team formally, informally and anecdotally. E.g. via the TUs, employees and managers. HR will challenge managers for example over leave of absence applications which are outside toe scope of the policy. HR team work closely with managers to support them to follow policy and procedure work. The HR team also commission work by Internal Audit e.g. on the flexi process and expenses.</p> <p>HR seeks feedback via Joint Consultative Committees, Directorate Management Teams and Senior Management Teams and where feedback is provided action is taken to resolve issues raised. E.g. verbal warning scenarios. We also consult with managers and TUs informally and via team meetings as well as using more formal mechanisms such as Management Network. Again work undertaken by Internal Audit team monitors the use of certain policies. The review of policies e.g. managing attendance policy is done via the constant provision of advice and information.</p> <p>Employee relations information – disciplinaries – warnings and types of warnings, dismissals, grievances, sickness absence data and</p>	<p>Information and guidance notes for relevant HR policies are available on the intranet and training modules for key people management processes are available. Level of attendance and satisfaction is monitored.</p> <p>There does not appear to be any formal reporting of non-compliance.</p> <p>The internal audit plan has not been seen. Whilst the HR Strategy group has been tasked with reviewing the effectiveness, PwC has not seen any evidence of how these reviews are undertaken.</p> <p>Statistics on absence and turnover are included in the monthly reports</p>

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		<p>reported regularly to the Council, eg number of dismissals, grievances, and employment tribunals, staff turnover, sickness statistics?</p> <p>Is individual performance managed (is this done by managers or passed to HR?)</p> <p>Does the Council have any Equality/Diversity issues?</p> <p>Is the Council using standard HR policies/proced</p>	<p>triggers, turnover and leaver stats, training stats, equalities data, number of PDR's undertaken, number of ill health retirements, demographic data, language data.</p> <p>Yes by line managers using the appropriate policies (managing underperformance) and PDR processes. HR provides advice guidance and support to managers on performance issues.</p> <p>We would like employees covered by Disability under the Equalities Act to advise us as our stats are not reflective of what is happening across the organisation. Employees do not always declare this information and there is no statutory requirement to declare this information.</p> <p>There are slight variations to suit school processes and policies to accommodate differences e.g. the involvement of the Governing Body in employee relations processes. We use Welsh Government guidance for schools disciplinary processes. Social Services use the</p>	<p>provided by HR to Directorates.</p> <p>Evidence provided supports self-assessment statement.</p> <p>The Performance Development Review process, Managing Job Performance and Disciplinary process are included in the submission documents. Evidence provided confirms that individual performance is managed by line managers.</p> <p>There is a policy for Equality and Diversity in place and one for Age Diversity. Targets mirror the Borough statistics. No specific E&D issues are noted in the submission. The Authority has dealt with Single status and equal pay.</p> <p>The only reported variance to standard policies and procedures is for Schools based staff where the Head and Governing Body have roles which are</p>

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		<p>ures across all services or are there variations such as in education and social services?</p> <p>Is the Council trying to align policies with neighbouring councils to aid joined up working/shared services?</p> <p>Is the content of the policies/procedures reviewed regularly to comply with changes in legislation?</p>	<p>Council’s core policies and will have additional guidance for example on POVA cases.</p> <p>This will be developing as collaborative working develops further. We regularly get asked for copies of our policies and these are then used by other organisations for them to develop their own. CCBC are happy to look at the policies of other organisations with a view to align them and share best practice. Work is also done at a senior level e.g. the Memorandum of Understanding with the Trade Unions has been worked on nationally. Caerphilly’s Domestic Violence policy was used as a basis for an all Wales document.</p> <p>Yes, policies are updated in line with legislation. We have reviewed policies on a biannual basis but have recently made a decision that some policies would need updating on a less regular basis. There is a timetable of policy development set for the next 12 months. The paternity leave policy has just been updated in line with changes in legislation.</p>	<p>somewhat different to the arrangements in the rest of the Council.</p> <p>Reference is made in papers related to the consideration of shared service working and also a number of areas of co-operative working such as training and development, where a number of joint development programmes and courses are in place across the Council and neighbouring authorities and other public bodies.</p> <p>Almost all the policy documents include a review frequency and the inclusion of draft policies in the submission suggests that these reviews do take place. Evidence of review meetings and collation of data/feedback for policy reviews have been provided which also including the Consultation log.</p>
	Is attendance management being managed	Who is responsible for managing sickness	Managers, employees and support is provided by HR and H&S.	As stated, the policy is clear on the role of the manager, the employee and on the support available from HR and H&S.

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	effectively?	<p>absence?</p> <p>Within the policy are roles and responsibilities at different stages of absence clear?</p> <p>Are procedures applied consistently?</p> <p>Does the Council have accurate and up to date data (is this consistent between the HR team and the managers?)</p>	<p>Yes (see policy) expectations in the policy are set. Clarifying manager and employee responsibilities.</p> <p>Yes via the managing attendance team at Ty Dyffryn and Ty Penallta and via the roll out of training to all managers across the organisation. Consistent advice is given and the policy directs them to be consistent. Stats are provided so the manager can take an overview of their team’s sickness and then address appropriately.</p> <p>Yes monthly sickness absence reports are provided to all managers as well as monthly trigger reports. Sickness figures for individual employees can also be provided showing the absence in diagrammatic form and including other types of absence e.g. leave, flexi etc. The Workforce Information Report provides departmental data for the organisation. This is produced quarterly. This information is used to populate Ffynnon.</p>	<p>The policy is similarly clear on responsibility at each stage and on the links to related policies such as H&S and Disciplinary.</p> <p>Regular monthly reporting to Directorates and managers includes absence statistics and trend data. The consistency of this data suggests a reasonable level of consistency of application of policy and reporting of absence.</p> <p>Regular reporting would suggest that accurate data is available (within reasonable level of tolerance for reporting of absence found in most organisations). The process for reporting and recording absence on Trent should ensure one version of the truth and the Trent system provides automatic collation of data. This also appears to be the only source of absence reporting which should also help to ensure</p>

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		<p>What systems are used to collate the data within services and corporately?</p> <p>What definition do they use to measure sickness absence?</p> <p>Is absence related to disabilities identified separately?</p> <p>Do they understand the trends?</p> <p>Do they understand the reasons?</p>	<p>For sickness absence data, Trent is the single source of data. Currently managers report the sickness absences as and when they occur to the transactional managing attendance team who input it to the system. This will change with the implementation of self service in iTrent when managers will input direct.</p> <p>A number of definitions and criteria are used. PI definitions – as per WAG, FTE, Headcount, Days lost, % lost reporting, triggers. Long and short term measures – up to 19 days is short term, 20 days or more is long term.</p> <p>Where there are individual cases we separate out those which are disability related. It can be but we don't as a matter of course unless asked. However, as mentioned above we do have some issues with employees not declaring a disability, which skews data. We report sickness absence under a range of main headings.</p> <p>Yes managers and Members understand the organisational trends around sickness absence data. The reduction of sickness absence is a target for the Council and therefore is closely scrutinised and challenged. The Workforce Information report is widely circulated as well as local stats being reviewed at a Directorate level.</p> <p>Yes reasons for absence are clear on the reports. We also provide a league table around reasons for sickness absence i.e. what are the main reasons for absence.</p>	<p>consistency.</p> <p>Reporting seen is consistent with the use of definitions for absence set out in this document.</p> <p>Regular reporting makes this distinction between DDA related and non DDA related absence (limited by the extent to which employees self report on disability).</p> <p>Trend data is included in reporting, although some interpretation of data presented is required.</p> <p>Evidence provided supports self assessment statement.</p>

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		<p>Are there measures to address specific trends such as an increase in stress related absence/short term absences?</p>	<p>Yes. In terms of stress CCBC have one of the best schemes around and other authorities have asked to buy the package. There are a range of wellbeing support and a Wellbeing assessment process that is recognised by the HSE as best practice. There are quicker triggers when dealing with stress cases as early intervention is proven to work. The Council's short term triggers have positively impacted on short term sickness absence. In terms of muscular-skeletal injuries, the Council's Physiotherapy Service ensures earlier intervention and treatment. The Council has an OH service and an employee assistance programme, Care First. The work of the Managing Attendance team ensures consistency of advice, guidance and action across the Council.</p>	<p>Regular reporting allows identification of trends. Also work closely with H&S team to identify specific issues.</p> <p>Evidence provided supports self assessment statement.</p>
		<p>Are measures in place to address high levels of absence in specific services?</p>	<p>Support is provided by the Managing Attendance team. Regular reports are provided to and closely scrutinised by CMT. The CEO views the casework for sickness absence e.g. long term cases, action taken to date and planned actions. There is a clear welfare visit process and OH processes in place. There is clarity on sickness absence across the organisation via comparison statistics. If an area is felt to be running a high level of sickness absence then resource is allocated to support the managers in that area to resolve the issues.</p>	<p>Regular reporting allows identification of trends. Also work closely with H&S team to identify specific issues.</p> <p>Evidence provided supports self assessment statement.</p>
		<p>Do managers receive prompt and consistent HR advice on dealing with queries?</p>	<p>Yes as there is a dedicated team as well as the Directorate teams and the policy and systems in place are there for guidance and for consistency. The training of managers has been consistent and well received. We are currently writing FAQs for attendance which will be published and looking at taking the training to the next stage with case studies and complex issues being reviewed.</p>	<p>Through Management attendance arrangement and trigger reports that are issued to managers to receive timely advice. Example trigger report has been reviewed.</p>
		<p>Is there a</p>	<p>Yes – CCBC has a good Employee Assistance Programme, OH and Physiotherapy Service and there are other aspects to encourage</p>	<p>On the intranet Home page there is information on wellbeing including Care</p>

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		<p>culture of wellbeing?</p> <p>Does the Council promote the importance of health and well-being?</p> <p>Who is responsible for reporting sickness absence performance?</p> <p>What reports are available for service managers/HR/ members to monitor performance?</p>	<p>health and wellbeing such as Subsidised Gym Membership, Cycle hire, cycle to work scheme, the Employee Health and Wellbeing group are launching new wellbeing activity this month including a questionnaire, road shows and a thematic approach for the next year to wellbeing e.g. smoking cessation, blood pressure awareness. The Council is having a mock assessment for the Gold Standard for Healthy Workplaces in November with the full assessment due next March. We also deliver Mental Health First Aid training for staff wishing to attend.</p> <p>Yes. See above, a wellbeing questionnaire going out this month. Proposals for blood pressure clinics, well woman, well man clinics, H&S Wellbeing Assessment in process. The Employee Health and Wellbeing Group was established to work on employee health and wellbeing issues and is supported by the Corporate Health and Safety Group.</p> <p>HR. Employees report to managers, managers advise HR. Data and statistics are reported from HR.</p> <p>As above. Monthly, quarterly and annual stats are produced as well as trigger reports and comparison data. Information is in days lost and percentages. Information is provided to managers individually, including Head Teachers, Directorate Management teams and Corporate Management Teams as well as scrutiny committees.</p>	<p>first counselling services. Relevant policies such as managing sickness absence are written in such a way as to stress the importance of wellbeing and there is a Health & Wellbeing group that meets regularly.</p> <p>Reporting is in place, Councils external web site makes reference to these issues at a community level and the People Strategy is explicit on matters of employee health and wellbeing.</p> <p>As stated in this document, regular reports are provided at Directorate and manager level which include trends and emerging issues.</p>

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		<p>Is this performance scrutinised and challenged?</p> <p>Is there an Occupational Health facility which supports long term sickness and the return to work?</p>	<p>Yes by Scrutiny, CMT, DMTs</p> <p>Yes with an OH Dr, OH Advisor and OH nurse as well as a Physiotherapy service. The Council also buys in Care First for Employee Wellbeing and counselling.</p>	<p>Evidence of Scrutiny, CMT and DMT deliberation on absence matters has been provided.</p> <p>There is dedicated Occupational Health capability and relevant policies and procedures are in place.</p>
<p>Does workforce planning support the delivery of strategic objectives and financial goals?</p>	<p>Is the Council making effective use of its current skills and capacity?</p>	<p>Are there effective arrangements to identify and meet training needs for staff and members which are linked to business requirements?</p> <p>Is there a performance management system to monitor individual performance:</p>	<p>Individual training needs are identified via the PDR process reviews have also been introduced for members. There are a range of courses available which are regularly offered. Also work with managers on bespoke training requests. E.g. letter writing for engineers, team leadership for refuse and cleansing, currently looking at a management development programme for finance.</p> <p>Yes see evidence folders. Specific competencies are attached to posts as part of the process which is linked directly to job evaluation profiles.</p>	<p>Evidence includes PDR process, Learning and Development policy and coverage of core training and development programmes in place for members and officers. Evidence of PDR's have been provided and cover topics included in the Self Assessment.</p> <p>Policy and processes are in place and a sample of PDR's have been provided to evidence the review outcomes, training needs identified and training and development activity undertaken.</p>

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		<p>Appraisal, PDPs</p> <p>Is there summary evidence of identified training needs in order to support business plans?</p> <p>Are training courses for developing key people management skills regularly available for managers and members?</p> <p>Do these courses meet both individual needs and the needs of the Council?</p> <p>Does the</p>	<p>CCBC Self Assessment – July 2011</p> <p>In part, in Social Services an annual questionnaire goes out to managers. However in other areas we do not collate up training needs per se (resourcing issue). Managers and HoS will look at their overall training needs as they manage the training budget for the service and request the identified training.</p> <p>Yes for managers. One of our most popular courses is Managing People Performance along with Coaching and Mentoring. Member Development is co-ordinated by Democratic Services with some support from HR (mainly in the form of advice and guidance, identifying suppliers etc.). Members can access any of the training delivered to managers should they wish to.</p> <p>Yes they meet individual needs and corporate needs. If there are key areas for work then corporately a programme is developed and delivered. Over the next 12 months we aim to put in additional structured plans for new managers specifically on a ‘dip in dip out’ basis rather than s sheep dip approach. We do not feel a sheep dip approach to training is right for CCBC as the PDR process is the vehicle to identify training needs and there is limited benefit of putting managers through programmes where they do not benefit from the content.</p> <p>Yes we maintain a training database. Currently in spreadsheet form</p>	<p>PwC Audit Evidence and findings</p> <p>No evidence has been provided.</p> <p>Training on core people management is available and regularly scheduled. Statistics on course attendance is recorded.</p> <p>The design of these courses and supporting materials appears to cover the expected range of issues facing individual managers and the ‘body corporate’</p> <p>Statistics on course attendance is</p>

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		<p>Council know the take up of these courses?</p>	<p>but this will upload into the L&D module in iTrent when it is implemented in the Autumn. Democratic Services maintain records of take up for member training. Social Service training team also maintain records. In corporate training there is a need to ensure that we can break even in terms of cost on programmes so if we do not have the numbers we will delay the programme.</p>	<p>recorded.</p>
	<p>Do services undertake workforce planning that clearly demonstrates how the Council plans to maximise its use of staff?</p>	<p>Is there a corporate workforce plan and meaningful/ current workforce plans across all services?</p> <p>Have the key</p>	<p>This is an area of development for CCBC.</p> <p>Corporately there is an exercise underway to identify the intentions of the over 55 workforce in order to identify any risk areas we have and to look at additional support this group may require.</p> <p>There is also much work around the development of apprenticeships and traineeships in CCBC with 150 places for work experience, work placements, traineeships and apprenticeships being created. This activity is driven by 2 issues – local youth unemployment and the age demographic of the organisation.</p> <p>Social Services are more actively engaged with workforce planning than other areas. However there is workforce planning ongoing on an informal basis. When looking at restructuring and succession planning Heads of Service consider resources, finance and service delivery options.</p> <p>We do not have a corporate workforce plan document but we have supporting documentation to evidence workforce planning. We are working with other LA's on issues such as where there are pressure points e.g. children's social workers, environmental health officers etc. Supply and demand in the current economic climate has in reality been less challenging.</p> <p>Over the next 12 months resource in HR will be engaged to work with managers on effective workforce planning (project plan).</p> <p>Within the Social Services work, the lead officer is the Assistant</p>	<p>Workforce plan is in place for some areas e.g. Social Services, but this is an area for improvement which the Head of HR is fully aware of.</p>

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		<p>people been involved in developing these?</p> <p>Do they link with business plans and specific activities within the plans?</p> <p>Is the current and projected WFP costed and affordable – if not are there plans in place to achieve this as part of an overall strategy so that the impact on services is considered.</p> <p>Who is responsible for</p>	<p>Director. Within other areas the HoS and Director would be involved in restructuring activities with advice and guidance from HR. We are looking to develop further expertise within Strategy and Development team and some of the team have already undertaken OD training. Additionally the HR Service Manager Operations and Strategy is working with a colleague in Swansea regarding Workforce Planning development for the team. Training is scheduled for 8th August.</p> <p>Workforce planning is driven by service delivery need, efficiency savings and based on how the service will develop. Services need to be appropriately resourced to be effectively delivered.</p> <p>The Council's Medium Term Financial Plan is a key driver to workforce planning therefore the costing is key to driving the change. Services know the savings they are looking to make and planning around these budgets.</p> <p>Managers and senior managers with support form HR on the people issues – e.g. on consultation processes, redeployment processes, the</p>	

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		<p>implementing service workforce plans?</p> <p>Does the Council know what the skill gaps are and where these are within services?</p> <p>How does the Council intend filling these?</p> <p>What is the quality & usefulness of the social care WFP (ask CSSIW)</p>	<p>development of new job descriptions and evaluation processes. With additional training planned for HR we will then be able to roll this through to managers and provide them with further advice and guidance.</p> <p>We know where the key skills gaps are and services are identifying needs locally and then coming to HR for support to resolve. When undertaking a restructure, managers have to consider their existing workforce capacity and capability and then where the potential gaps are. As an organisation we are looking to further develop management capacity and competency and well as specific needs with individual teams. Within the HR team restructure, it was identified that there was a need to undertake business partner development, which has been implemented across the senior HR team. The biggest challenge for CCBC will be the age demographic of the workforce.</p> <p>By managers identifying the need and bespoke training being implemented. By coaching and mentoring processes, by continuing to deliver key training programmes while developing new ones. Also by 'growing our own', managing talent across the organisation. Other opportunities are to look at flexible retirement opportunities and further developing our employee benefits packages to make CCBC an employer of choice.</p> <p>Auditors will ask CSSIW?</p>	

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		<p>Has the Council aligned its WFP with neighbouring councils – to make the most effective use of resources across organisational boundaries?</p> <p>Is WFP joined up with partner service delivery organisations including health, the voluntary sector etc?</p> <p>Does the Council have accurate WF data to inform planning (e.g. is data held within the services consistent with that held</p>	<p>Announcement has been made on the collaboration between CCBC and Blaenau Gwent on the management and delivery of social services between the two organisations. CCBC are supporting H&S, JE and OD resources with Newport. We had some Newport resource in to assist on the iTrent development (payroll) We are sharing training events with other authorities – Newport and Merthyr for example. We have looked at the packages developed by Birmingham CC with neighbouring authorities to see if there was value in purchasing. We are developing WFP activities via the HR Directors OD Network as an area for development for HR teams in Wales. Further discussions are underway on the HR side regarding collaboration</p> <p>Gwent Frailty Project underway. We are working with third part providers on our Apprenticeship and Traineeship scheme including training providers, schools, Careers Wales, JCP and third sector providers.</p> <p>Yes as workforce data is driven out of Trent. We work closely with managers to ensure we have up to date and accurate data. There will be further opportunities over the next 12 months to undertake further data cleansing on the system (as a good practice exercise). E.g. much work has been done and continues on structural changes in Trent as well as introducing new fields for reporting.</p>	

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	<p>Has there been an assessment of the skills and capacity required for the future?</p>	<p>centrally)?</p> <p>Does the Council have a clear vision for the service delivery changes that it wishes to make?</p> <p>Does the vision include identifying the type of skills / competencies required for the future?</p> <p>Has the council identified the types of skills/competencies required to</p>	<p>Service delivery changes are ‘processed’ in the following way. Service managers consider the demands on the service with the Director and the Senior Management team in that area and how that will best be delivered. A report with proposals will then be produced for the Corporate Management Team with the appropriate consultations. CMT will agree or challenge the proposals presented. Some service delivery changes will need to go to Cabinet / Council for sign off. CMT will have the overview on what service delivery changes are proposed / being made across the organisation. Managers are aware of how they service will need to be delivered in the short term and the operational challenges. The ‘unknown’ factor is the external pressures and demands around regional and national strategies impacting on that service and how these will affect the delivery.</p> <p>Effective workforce planning cannot be achieved without identifying the skills and competencies required for the future. The workforce planning that has been undertaken e.g. the work in social services would link back to the SCWDP. There is a section in the Social care document that refers to ‘growing our own’ which also links into the Council’s People Strategy. Themes and areas of development recognised as a need by the organisation are flagged corporately and the appropriate interventions are introduced. Also if a need is highlighted locally with a particular department this is then again the appropriate interventions are introduced.</p> <p>The Council are about to engage in a joint venture with other local authorities to introduce a change management programme for managers. The programme has been piloted in North Wales and have been extremely successful. The train the trainer will be delivered in October for those who will deliver the programme with</p>	<p>There are a number of Service Improvement Plans in place which includes relevant details. However, the Authority recognises that Workforce Plans which would include this level of detail are not in place for most areas.</p> <p>There is a competency framework in place which is referenced in the recruitment and selection policy, the training and development policy and included in role profiles. This framework is linked to the People Strategy and as such reflects the behavioural aspirations of the Council.</p>

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		<p>facilitate change management and to deliver services for the future?</p> <p>Is succession planning carried out routinely?</p> <p>Has the Council completed an impact assessment of outsourcing staff or sharing the management of services with partners - including TUPE, impact on support staff and corporate services, equal pay and grading issues?</p>	<p>the first session being delivered in December at CCBC. The HR Service Manager, Strategy and Operations has also delivered sessions at Newport CC on change management. Other courses being delivered / planned to be delivered to support managers with managing change are Coaching and Mentoring, coaching for performance and having difficult conversations.</p> <p>Succession planning is carried out in some areas but not all. E.g. refuse and cleansing recognised that there was a need to take action to succession plan and this was addressed. HR have been succession planning for around 4 years (Willing, Able, Allowed) and the outcome has been strong. The Senior HR Officer and HR Officer cohort having developed and they are ready and prepared to move on. Again this is an area where the newly created HR Strategy and Development team will become involved.</p> <p>When the HR shared service proposals were raised around 2 years ago and subsequently rejected this was off the back of an impact assessment including financial issues. Housing Stock Transfer (early days currently) but an impact assessment will be a part of the process should the vote be to outsource to provision.</p> <p>Consideration has been given to TUPE, equal pay and grading issues when insourcing and outsourcing services e.g. Silent Valley staff recently. Work has been ongoing on the Social Services project.</p>	<p>Some areas, for example HR, have succession plans in place but this is the exception rather than the rule. The Council is aware of the need to put in a comprehensive succession planning process.</p> <p>Papers included in the submission covering the decision not to pursue a shared service model do cover an impact assessment and discussion of the risks arising from this.</p>

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	Do services critically evaluate the need to replace a post, including the skills required, prior to beginning the recruitment process?	<p>Is there a sign off process?</p> <p>Who is involved in this?</p> <p>What system is used to link the person specification with service requirements?</p> <p>Are there examples of changing roles to meet business needs, rather than replacing more of the same?</p>	<p>Yes vacancies are signed off by CMT before they can be moved on. A business case is completed, options for filling / not filling are considered, redeployment opportunities are explored before the post goes to internal / external advert – depending on which is most appropriate.</p> <p>Line Manager, Head of Service, Director, HR.</p> <p>The Council has completed an extensive Job Evaluation process. Off the back of this there has been much work on JDs, Person Specs and Competencies. The manager will draft the document with support to ensure the PS requirements are appropriate for the grade of the post and for the needs of the service. The HR team will take a holistic approach in terms of the whole structure and how the post fits that structure and advise the manager on appropriateness.</p> <p>Yes, when a post becomes vacant then the process is for the manager to review the post and responsibilities to see if the status quo should remain or if things have changed and moved on. If there are significant changes the post is re-evaluated to confirm the grade is appropriate. There are examples of where roles have changed to reflect different service delivery e.g. Economic Development, Group Manager role, Communications Restructure, street scene posts – multi- functional, Customer First posts – three tier approach and bars.</p>	<p>The policy as documented requires a business case to be completed and signed off at CMT level as set out here.</p> <p>A toolkit is on the intranet which takes managers through the process. There is also a Vacancy Management process in place which covers these requirements.</p> <p>There is a Vacancy Management process in place which covers these requirements.</p>
	Reductions in agency and locum expenditure	Is there a corporate policy on the use of temporary staff?	<p>The Council have bought into the Master Vendor Service procured by Cardiff CC run by Comensera. Agency staff are supplied across the organisation by this provision vehicle.</p> <p>The Council does have it's own casual / relief staff in Care and Leisure for example and we have those appointed on fixed term contracts - e.g. maternity cover, longer term sickness cover, grant</p>	Details of Comensera arrangements are included in the documents submitted to PwC and mechanisms for review of rates and levels of usage are available as part of these arrangements.

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		<p>Is this policy complied with across all services or are there exceptions depending on the nature of the service?</p> <p>How much does the Council spend on temporary staff including bank, agency and locum cover?</p> <p>Has this decreased in the last three years?</p> <p>At what management level can decisions be made on recruitment of temporary staff?</p>	<p>funded posts</p> <p>All services are accommodated under the VMS except schools.</p> <p>Comensura costs are provided with e.g.'s of the MI reports we have.</p> <p>Comensura give far more clarity on costs and cost savings than we had previously. Before we would collate data from finance based on cost codes. Info in evidence file for auditors.</p> <p>Managers and Heads of Service would decide on short-term agency useage. For longer term appointments – this would be CMT sign off.</p>	

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Do ICT services support HR? (please refer to ICT thematics)	Are the ICT resources to support HR delivery appropriate?	<p data-bbox="555 280 757 504">What are the ICT arrangements for supporting the delivery of HR services?</p> <p data-bbox="555 544 768 767">What arrangements are in place for technical support if HR IT systems fail?</p> <p data-bbox="555 807 768 999">Can managers and staff who are not office based access the HR systems?</p> <p data-bbox="555 1102 768 1262">Who is responsible for the data within the system?</p> <p data-bbox="555 1334 768 1402">Who is responsible for</p>	<p data-bbox="779 280 1592 392">We have dedicated resource for HR systems and Helpdesk and corporate resource for issues such as networking, security, office moves etc.</p> <p data-bbox="779 544 1592 695">Dedicated resource on Trent and Crown the main HR systems. HR MI team for provision of reporting and Trent support. (System administration). We also have good relationships with the software provider who can dial in to support.</p> <p data-bbox="779 807 1592 1070">Crown (flexi) yes if they have remote access agreed by the HoS from home. Trent, no as not currently accessed outside of HR and a small number of Finance people and Audit. However this summer / autumn will see the introduction of self service to managers and then a later rollout to employees of the Trent system. Access offsite to the system will be possible as iTrent is web based and currently sits on the Council's intranet page, which is accessible from offsite.</p> <p data-bbox="779 1102 1592 1294">Managers and employees advise HR Employee Service Centre of changes and the record is amended by the HR team. This will change with self service e.g. managers will be able to input sickness absence data and employees would be able to update things such as training records.</p> <p data-bbox="779 1334 1077 1366">See above, HR currently.</p>	<p data-bbox="1610 280 2083 472">Documents provided to PwC include detail of current Trent HR 'platform' and details of the planned implementation of iTrent which will provide support as set out in this document.</p> <p data-bbox="1610 544 2083 695">A full audit of systems support to HR would need to be undertaken to fully cover this question and this is outside the scope of this review.</p>

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		<p>the maintenance of staff records?</p>		
	<p>Is ICT clearly linked with the Council's HR strategic vision?</p>	<p>Is there a clear joined up vision & delivery plan for HR IT systems?</p> <p>What is the extent of IT support for manager/staff self service eg using Trent or a similar system?</p> <p>Does the Council have an integrated payroll and HR system?</p> <p>Who is responsible for maintaining staff records and communicating changes to payroll?</p>	<p>Trent is the core IT system for HR. The phase one project plan for the upgrade will be completed mid July. The Phase 2 Project Plan will be written in July to start in August.</p> <p>This will be developed as a part of the Phase 2 Project Plan.</p> <p>Yes iTrent</p> <p>The HR ESC and wider HR team.</p>	<p>The adoption of Trent and iTrent as the core HR platform is well documented and plans in place appear to evidence a sound strategy in this regard.</p>
	<p>Do ICT systems and</p>	<p>Do the Council's systems</p>	<p>Yes a wide range of reporting can be generated and we are further developing the reporting side. Some examples of the types of</p>	<p>Workforce management information is now routinely available and published to</p>

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	support enable effective people management?	<p>generate usable and relevant HR /management information?</p> <p>Do managers have web access to HR policies and procedures?</p> <p>Does the system enable management of sickness absence – eg recording fit notes and sharing appropriate information with payroll?</p> <p>How are staff records</p>	<p>reports we generate can be seen in the evidence file.</p> <p>Yes policies and procedures are on the Intranet. The Strategy and Development team are working with IT on a new ‘employee portal’. This includes the development of manager toolkits and documentation with hyperlinks.</p> <p>Yes – all via Trent, electronically. Also hard copy paperwork is scanned in to our IDOX system which payroll will have access to in the new few months when the training is rolled out.</p> <p>All employees have sickness absence recorded in Trent including fit note information.</p> <p>We have in effect an internal shared service. Records are managed via Trent and IDOX. Should the historic paper file need to be</p>	<p>managers.</p> <p>Not all the functionality in Trent was switched on as the Council was moving to the iTrent platform which has now happened. There is a project plan in place to switch on various modules in iTrent.</p>

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		<p>managed where there are shared services?</p> <p>Have systems achieved streamlining of transactional HR activities – is the skill mix maximised & ICT used appropriately?</p> <p>Are there savings of staff resources as a result of streamlining activities?</p> <p>Do systems allow the tracking of staff through the system (eg if they have multiple jobs with the Council)?</p>	<p>retrieved this is done via the ESC team and forwarded to the relevant officer. Disciplinary information is held separately.</p> <p>iTrent training has recently been delivered with the right detail for the right audience. The next part of the process is for the Strategy and Development team to link into the ESC team to support Business Process Reengineering, process by process. We have already 'lost' the need to use a number of Excel based trackers such as Fixed term contracts and CRBS as this information is now pulled direct from iTrent. As these processes are streamlined or in some cases developed then we can streamline further.</p> <p>The Medium term financial plan savings still required are targeted at £155k. This is in addition to the £180k already delivered. This saving will be achieved by in staff costs. The big win for the team will be manager self-service including expenses.</p> <p>Yes. Info is recorded at person / post level so we can identify multiple post holders.</p>	<p>Payroll and HR transactions are integrated. Further functionality will be developed as the rollout of iTrent modules continue.</p> <p>This will be evidenced through the project plan. Currently in the rollout phase.</p>

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<p>Does the Council provide effective HR services to its schools? (this section could be useful to consider if the council is due to receive an Estyn inspection of local authority education services for children and young people (LAESCYP))</p>	<p>Does the Council have dedicated staff that provide the service to schools under an SLA or some other arrangement?</p>	<p>What are the terms of the SLA?</p> <p>Does the SLA lay out which parts of the service the school is opting to buy, and which the Council will provide even if the school buys-in a HR service from another provider?</p> <p>Are schools acting as intelligent purchasers?</p>	<p>Copy of SLA can be supplied. This is due to be reviewed by the HR leadership team around September.</p> <p>The SLA has 2 levels of service. As a provider of services there are those schools who access the provision regularly and others who seldom seek support. It is likely that in the future we will change the SLA provision. We do have a Grant Maintained School that buys into the payroll service but currently not HR.</p> <p>Feedback suggests that there are improvements to the service delivered. So far no customer has withdrawn from the service.</p>	<p>SLA received and supports Self Assessment statements.</p> <p>Comments suggest an urgent need to review SLA's and also the level of support being provided over and above that agreed and being paid for under SLA's. This will help to ensure that Schools do act as intelligent purchasers and that the Council can price services in a way which is reflective of actual</p>

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		<p>Is the SLA offered at different levels of advice, depending upon the confidence & maturity of the school in dealing with HR related issues?</p> <p>Does the Council provide advice to schools even if they have chosen to buy-in alternative HR advice for some aspects of the service?</p> <p>Are there back up arrangements if a designated person is unavailable?</p>	<p>In practice yes. Most Head Teachers seek a significant amount of support regarding employee relations cases. Secondary schools with bursars are more confident in dealing with low level issues. Some schools need a considerable amount of support – well beyond the value of the SLA.</p> <p>Occasionally – e.g. with our grant maintained school we have supported them through an employee relations issues. This school does not have any HR advice from elsewhere.</p> <p>Yes we have a professional team of 5 and a support team in the ESC who manage the school demands. Should there be heavy case loads then we can allocate those cases to officers outside of the Education team.</p>	<p>demand and levels of actual service delivery.</p> <p>If the schools require advice this is provided and the Corporate HR absorb the costs. This does not happen very often.</p>

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		<p>Is the HR resource able to keep abreast of wider HR issues?</p> <p>If the whole team provide HR advice how do they ensure consistency?</p>	<p>Yes as they are a part of the HR team and are based in the same locations. They have exactly the same access to information and training as other team members and are managed by the same line manager.</p> <p>By regular meetings and discussions, FAQs, training and development and shortly to have additional guidance notes as they are developed by the strategy and development team.</p>	
	<p>Does HR have the capacity & capability to deliver services to the agreed SLA levels?</p>	<p>Is the SLA adequate for the level of HR support called upon?</p> <p>What level of support is provided for redundancy and redeployment cases?</p> <p>Does HR have sufficient capacity and skills to support the director of education in</p>	<p>Not in all cases. Sometimes significant resource is needed to deal with the demands made on the team, especially in complex and multiple cases.</p> <p>Full support is given as soon as Finance advise of the potential problem. All attempts are made to avoid a redundancy situation via redeployments etc. This year we have avoided all schools redundancies by implementing other measures including redeployments</p> <p>Yes there are skills within and outside of the core team to support Education.</p>	<p>As above, comments suggest that a review of the SLA, levels of demand and the costs associated with delivering to actual levels of demand should be undertaken to ensure that the service actually provided to Schools is properly funded.</p>

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		<p>managing the streamlining of the number of schools?</p> <p>Does HR have responsibility for training, e.g. for school governors on disciplinary handling?</p>	<p>HR do deliver training to Governors and managers in schools on HR issues when requested and also offer the training up to schools on corporately delivered training. E.g. Heads attended the Managing Attendance training.</p>	
	<p>How does HR ensure that schools follow best practice in HR management?</p>	<p>Are HR policies of a good quality and contain appropriate information for schools?</p> <p>Are best standard procedures followed in schools?</p> <p>Who consults and negotiates with the</p>	<p>Yes policies are 'tweaked' to take into account schools based issues and the role of the Governing Body. The WAG guidance on disciplinaries is used in schools.</p> <p>We would believe this to be the case. Consistent advice and guidance is provided to schools and the policies are based on CCBC policies with the appropriate amendments and these are based on best practice.</p> <p>Education JCC is held in the same way as other Directorates. Consultation is through this route.</p>	<p>Where appropriate policies appear to reference additional/alternative guidance to deal with issues unique to schools. The inclusion of these 'statements of variance' ensure that policy content is as consistent as possible between schools and the rest of the Council.</p> <p>On the basis that policies (as reviewed) are regarded to be compliant with legislation and reflective of good practice, this is assumed to apply also in the Schools setting.</p>

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		<p>teaching unions/ other relevant unions?</p> <p>Is this part of the core SLA that the Council provides to all schools?</p> <p>Does HR monitor the use of policies/procedures by schools? And provide support or intervention when necessary?</p>	<p>Yes</p> <p>If a school has a HR issue the school approach the HR team for advice and guidance on what action to take. Appropriate support and action is given based of the individual issues raised. The team promote good working relationships to develop successful outcomes to problems and discuss issues with head teachers and bursars in formal groups on a regular basis. Our role is to protect the schools and employees and therefore appropriate advice and guidance is provided and the Director of Education is kept informed of issues.</p>	<p>Regular JCC with the schools trade unions are undertaken and issues on policy compliance may be raised in these meetings.</p>
	<p>Are schools happy with the level of HR advice they receive?</p>	<p>See 2 yearly questionnaire – this will cease with the demise of the Audit Commission</p> <p>Is the SLA clear in terms of what services will be delivered and how?</p>	<p>Questionnaire results show that those who have had contact with the team on casework for example are satisfied or please with the levels of service provided. Those who have not accessed the service have differing views.</p> <p>The SLA needs further development. The HR Service Managers have had discussions on what this may look like as the service is developed.</p>	<p>SLA has been reviewed and the outcome from the most recent client satisfaction survey has also been provided.</p>

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		<p>Does the SLA include service standards?</p> <p>Does the SLA deliver value for money from the perspective of the schools and the Council?</p> <p>Does the SLA cover recruitment (pr have schools opted to manage this themselves?) and is this managed effectively?</p> <p>Who is responsible for recruiting supply teaching staff?</p> <p>Who holds the budget for supply teachers?</p>	<p>The SLA advises what the HR team will deliver and in fact they tend to go beyond the level of service promised in the SLA.</p> <p>See questionnaire results</p> <p>The ESC team advertise the posts, collates responses and administers the process, forwards applications to the schools and supports the governing Body in the short listing process. The Governing Body / Head recruit and then them team pick up the post recruitment process including checking and setting up on the system.</p> <p>Yes it is managed effectively but we are always looking to improve the service and efficiencies.</p> <p>The school use a variety of methods, some use agencies, other use teachers known to them e.g. previously employed retired teachers. The ESC team also have a bank of supply teachers.</p> <p>The school.</p>	

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		<p>What measures are in place for monitoring the quality of supply staff?</p> <p>Does the Council have a contract for supply teachers?</p> <p>Is the price of the SLA to schools equal to the cost of providing the services (excluding those elements that are the Council's functions and should therefore be paid for by the central education budget)</p> <p>Has the school considered</p>	<p>The school / agency.</p> <p>The Council use a Comensera vendor managed service but this does not include schools.</p> <p>The SLA for schools is due to be reviewed in the next 12 months as currently the same level of service is offered to all even though there are 2 pricing bands. One of the outcomes will be to cost out the model to ensure the price covers costs but is also competitive and excellent value for money.</p> <p>The SLA is reviewed on an annual basis and a school can opt in or out. Perhaps this is a question for our customers?</p>	

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		<p>other options in the provision of its HR advice and support? (private sector)</p>		
	<p>Are there appropriate HR metrics for schools</p>	<p>Does the Council report regularly on HR data for schools?</p> <p>How is the data gathered?</p> <p>Is the data consistent between the school & the HR department?</p> <p>What is the current performance for schools in terms of:</p>	<p>Yes via Scrutiny.</p> <p>From Trent and Ffynnon.</p> <p>Yes.</p> <p>See Workforce Information Report in evidence folder and supply costs from Finance in the folder.</p>	<p>Request sight of metrics and reports from Schools HR team.</p>

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		<ul style="list-style-type: none"> • Sickness absence rates • Turnover • Supply teacher costs? 		
<p>Are HR related risks well managed?</p>	<p>HR is likely to be a significant area of risk. Is the level of risk recognised?</p>	<p>Is HR included in the corporate risk register?</p> <p>What does the risk register say?</p> <p>Does HR have a risk register?</p> <p>If so, is the HR risk register current, complete and used?</p>	<p>Yes</p> <p>See evidence file</p> <p>Yes</p> <p>Yes it is annually reviewed and updated. Supported by internal audit.</p>	<p>Detail included in the Corporate Risk register supports this statement,</p> <p>Risk matrix included in the Service Improvement Plan which is reviewed annually and updated.</p>
	<p>Are steps being taken to mitigate the</p>	<p>What actions are in place to mitigate the</p>	<p>The move to the new service model is in itself taken to mitigate risks. The new HR leadership team monitors service delivery and resource constraints as part of its monthly review.</p>	<p>Specific actions identified in the Service Improvement Plan to mitigate risks. The HR leadership team actively monitor</p>

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	<p>main HR risks?</p>	<p>main HR risks?</p> <p>Are these actions and risks monitored regularly by senior managers and members?</p> <p>What are the financial risks associated with HR? (discuss with financial auditors)</p> <p>What measures are in place to protect the confidentiality of HR information? (link with information thematic)</p> <p>What are the HR reputational risks?</p>	<p>Picked up at Corporate Services DMT, CMT and Internal Audit. Would also be supported by the Scrutiny process.</p> <p>PWC to discuss with internal audit?</p> <p>Security settings in IT systems which limit access depending on role and location in service. Disciplinary information not maintained on HR file (hard copy or IDOX). Team very aware of data protection issues. Limited access to information.</p> <p>HR is only as good as its last piece of work therefore we have to keep delivering. The robustness of the information we are now providing is recognised as is how HR can add value to the organisation. Challenges arise when a manager wants to take certain action and we then advised against it explaining the reasons and risks. (Employment law based) HR then can be seen as</p>	<p>resource constraints on a regular basis.</p> <p>Internal Audit where not available to meet with PwC.</p> <p>Covered in Service Improvement plan for HR.</p>

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		<p>How does the Council assess the morale of its workforce?</p> <p>Is the HR service delivery/quality supporting the Council in its objectives?</p>	<p>preventing a manager from doing what they want to do.</p> <p>Environment Directorate have undertaken a short staff survey (2010), reviewed to outcome and set objectives from the outcomes. A wellbeing survey is about to be launched and we are exploring options for a whole staff survey – either running internally or using another vehicle such as ACAS or Best Workplaces.</p> <p>Yes. Aim to support the operation and ‘front line’ to perform and deliver the best service possible. The SIP links into Corporate objectives.</p>	
	<p>Is the Council successfully delivering single status? (link with financial auditors)</p>	<p>Who is overall responsible for delivering single status?</p> <p>Is there close working between HR and finance staff on exchanging data on single status and deciding on priorities?</p> <p>Are HR and finance using the same ICT</p>	<p>Single status was completed in April 2009 and we have ongoing processes to protect the integrity of single status. HR was responsible for the delivery.</p> <p>Yes. The project team included HR, IT, Audit and Finance staff. This was overseen by the JE / Equal Pay project board. The work on equal pay is ongoing so the project board still meet.</p> <p>Yes the relevant officers have access to iTrent. Now looking to include budgeted hours in iTrent as a part of the upgrade.</p>	<p>Single status completed in 2009. New roles or changes to roles are detailed either in the Vacancy Management process or within the changes to salary process.</p>

APPENDIX 2

Level 2	Level 3	Prompts	CCBC Self Assessment – July 2011	PwC Audit Evidence and findings
		<p>systems to access data?</p> <p>Has the Council made progress in achieving single status?</p> <p>Has the Council completed job evaluation?</p> <p>Has the Council completed job matching?</p> <p>What progress has been made on developing and consulting on a new pay model?</p> <p>What is the estimate of the total cost of achieving the new pay model and single status?</p> <p>What is the</p>	<p>Completed. Equal pay claims outstanding are ongoing via the ET route.</p> <p>Yes</p> <p>Yes and evaluations continue as and when necessary to protect the integrity of the processes. The next stage will be the development of job families.</p> <p>Completed April 2009. CCBC were unique in delivering single status and equal pay side by side and by not only introducing a new pay and grading model but also getting a collective agreement signed. We have recently brought Red book (Craft) employees into the process. (Completed March 2011)</p> <p>£27 million (shared between new pay & grading and historic Equal Pay claims) - no capitalisation was needed as monies were put aside to cover the costs. Some ongoing equal pay liability exists and we are continuing to go through the equal pay process.</p> <p>Completed</p>	

APPENDIX 2

Level 2	Level 3	Prompts	CCBC Self Assessment – July 2011	PwC Audit Evidence and findings
		<p>Council's timetable for achieving a new pay model and single status?</p> <p>Are members aware of the impact and risks associated with single status and a new pay model?</p>	<p>Yes, they were kept updated throughout the process.</p>	
<p>Does HR support the Council in actively engaging with staff in working in partnership with them?</p>	<p>Is there a commitment to partnership working with staff?</p>	<p>How does the Council consult with staff on plans, changes to services and single status?</p> <p>Does the Council have joint staff forums, working groups, staff representative on decision</p>	<p>A robust consultation process was implemented at an individual, local and Council wide level which included roadshows, presentations and Q&A sessions, written advice and guidance and booklet as well as the TU consultation mechanisms. Tus were involved in evaluation processes and appeal processes.</p> <p>Yes. TU representation and management representation.</p>	<p>Signed single status agreement by TUs and the Council has been achieved following collective ballot of staff.</p>

APPENDIX 2

Level 2	Level 3	Prompts	CCBC Self Assessment – July 2011	PwC Audit Evidence and findings
		<p>making groups?</p> <p>Are these consultative methods effective?</p> <p>How does the Council measure their effectiveness?</p> <p>Does the Council use a variety of consultation methods (as different people like to receive information in different ways)?</p>	<p>Yes, as engaging with various groups has developed mutual understanding and knowledge development so the Tus could be actively involved in the processes</p> <p>By the levels of TU engagement and understanding and buy-in.</p> <p>Yes regular meetings, written communications, internet consultation</p>	
	<p>Are the communication flows working well, bottom up as well as top down?</p>	<p>How does the Council gather the views of its staff?</p> <p>What mechanisms exist for allowing staff views to</p>	<p>Via TU consultation, Equalities groups consultation, internet consultation for non-union members, feedback from DMTs / SMTs.</p> <p>See above – formal consultation processes.</p>	<p>Various meeting with TUs are undertaken and consultation meetings with staff.</p> <p>There is also a bright ideas scheme where staff can make suggestions.</p>

APPENDIX 2

Level 2	Level 3	Prompts	CCBC Self Assessment – July 2011	PwC Audit Evidence and findings
		<p>influence decisions?</p> <p>Is consultation with staff meaningful, open & honest or does the Council consult after it has made decisions?</p> <p>Does the Council consult with staff promptly when changes are proposed?</p> <p>Does the Council provide staff with accurate information and data when consulting on any issue?</p> <p>Is the Council's relationship with the unions considered to be</p>	<p>Consultation is undertaken on proposal stage and draft stages of policy writing. Policies can go through many drafts before the final is agreed and signed off.</p> <p>Employees are brought in at the earliest most appropriate stage. Trade Unions are give the 'heads up' where there is something on the horizon.</p> <p>Yes the facts and figures are provided including risk factors and impacts.</p> <p>Yes. Obviously there will be disagreements as that is the nature of the beast but CCBC is heavily unionised and we look to work collectively with the TUs across the organisation in order to do the best for employees, the Council and residents of the County</p>	

APPENDIX 2

Level 2	Level 3	Prompts	CCBC Self Assessment – July 2011	PwC Audit Evidence and findings
		effective?	Borough.	

Annex B - mapping strategy themes and improvement objectives

Corporate IO's 2011/12	HR IO's 2011/12
<ol style="list-style-type: none"> 1. To deliver value for money public services. 2. To reduce the amount of waste we send to landfill. 3. To improve the provision of housing to our tenants. 4. To make Caerphilly a safer place to live and work. 5. To improve the look and feel of our streets. 6. To reduce our carbon footprint and operate more sustainably. 7. To increase range of employment opportunities for local residents. 8. To increase volume of tourists visiting Caerphilly. 9. To increase viability and vitality of our town centres. 10. To improve the skills level for children and young people. 11. To raise awareness of the benefits of a healthy lifestyle. 12. All learning settings meet current and known future requirements. 13. All adults in the social care system are able to lead full, active and independent lives. <p>Colours denote mapping</p>	<ol style="list-style-type: none"> 1. HR restructure completed and roles and responsibilities bedded in. 2. HR and payroll system upgraded to iTrent including manager self service; batch scheduling of reports to reduce system downtime; introduction of workflow; implementation of the recruitment and learning modules; and e-slips. 3. Strategic HR/OD agenda plan written and delivery underway. Regular feedback provided to CMT on deliverables and outcomes. 4. Business partner model in HR and H&S developed across the service. 5. Effectively supported the Housing Stock Transfer exercise pre and post ballot. All impacted employees have access to HR advice and guidance and appropriate preparations in place to deal with a yes or no vote. 6. Apprenticeship and traineeship scheme developed and implementation underway. 7. Council has a fit for purpose policy framework and toolkits to support managers in managing teams. 8. Equal pay project on track and risks minimised. 9. Implementation of the RAMIS information management system to manage and monitor compliance on statutory maintenance. 10. Fully implement the recommendations of the strategic review of health and safety management and resources undertaken by MARSH in 2010.

Community Strategy themes:

- Living environment
- Regeneration
- Education for life
- Health, social care and wellbeing
- Sustainability
- Equality

People Strategy themes:

- Attracting and retaining skills and talent
- Lead and manage by example
- Creating opportunities; supporting development
- Fulfilling potential; growing our own
- Driving up performance
- Engaging and communicating

HR projects and initiatives (in addition to/in support of HR IO's) covered in documentation submitted:

- Redeployment
- Redundancy selection
- Workforce strategy for managing reductions
- Management of agency staff and costs
- Apprenticeships
- Policy for removal of retirement age
- L&D tender for services
- Coaching and mentoring policy
- Member development programme

Also provided is a file covering reviews and re-issue of all core HR policies.