

Audit of the HR Function

A model for Schools



Audit of the Personnel Function for Schools

Published by:
Essex County Council, HR Service
County Hall
Chelmsford
Essex, CM2 6WN

©Essex County Council, HR Service 1998, revised September 2007

Copies may be made without prior permission by any establishment purchasing this document from Essex County Council providing copies are used solely within that establishment and acknowledgement is given. For copying in any other circumstances prior written permission must be obtained from the County Council.

Further copies may be obtained from:
Essex County Council, HR Service Schools Team
County Hall
Chelmsford
Essex, CM2 6WN
England

INTRODUCTION

There are many elements which contribute towards successful human resource (HR) management and this document enables schools to self-evaluate against these, to measure current performance and plan for developments which may form part of, and/or assist in the delivery of, their School Improvement Plan.

What constitutes effective action in satisfying the various elements has to be defined, inevitably, in the specific context of the individual establishment. In general, however, all establishments need to:

- establish and maintain an effective organisational structure in which all staff are clear about their roles
- recruit, deploy and retain staff flexibly to meet the schools' priorities, making the best use of individuals' skills
- induct and develop staff in line with their individual needs and those of the school development/improvement plans
- establish and maintain constructive and harmonious staff relationships through good channels of communication, feedback and shared development
- ensure equal opportunities in recruitment, staff development and training, pay and promotion
- develop and maintain policies and strategies which motivate staff and facilitate the resolution of disputes
- monitor, measure, evaluate and review all aspects of HR management against staff quality and improvement
- allocate appropriate resources to appropriate areas of HR management
- have in place appropriate administrative systems to support the management of HR issues

These principles will ensure a secure HR management framework.

HOW TO USE THE AUDIT DOCUMENT

The Audit Document is a self-assessment tool in the form of a checklist of HR legislation, procedures and 'good practice' which will ensure the school is in the best possible position to manage their personnel responsibilities.

The Audit Document is in three sections:

A) RESPONSIBILITIES FOR HR MATTERS

This section deals with the roles and responsibilities of Governing Bodies as a whole, Committees and the headteacher in the management of HR issues.

Date completed.....
Name..... Position.....

B) POLICIES AND PROCEDURES

This section outlines the policies, procedures and processes which facilitate effective HR management.

Date completed.....
Name..... Position.....

C) HR PROCESSES

This section covers the HR administrative processes/systems which should be in place to support effective HR practice. An additional detailed framework is being developed for schools to self-review their administrative structure/practices.

Date completed.....
Name..... Position.....

You should be aiming to answer "yes" to all questions. A "no" response should promote follow-up action and you should contact your HR provider for assistance as necessary.

The Audit will be most beneficial if undertaken jointly by the Headteacher, Senior Administrator/Bursar and Chair of Governors/Personnel.

If you would prefer, we can arrange for an HR Consultant to work through the document with you and to provide a report on recommended action arising. A charge would be made for this service.

AUDIT OF THE HR FUNCTION

SECTION A - RESPONSIBILITIES FOR HR MATTERS

This section covers the powers of the Governing Body, Committees and the Headteacher regarding HR matters.

		Yes/No √ or x	Date Agreed/ Reviewed	
1.	Has the headteacher been given the following delegated powers:			Under the School Staffing Regulations 2003, the Governing Body should delegate responsibility for appointments and initial dismissal decisions in respect of staff (usually) below Leadership Group level to the headteacher. There may be individual circumstances in which the Governing Body will need to hear cases (e.g. where the headteacher has investigated a disciplinary matter) and this is accommodated in relevant policies. Schools with a religious character may appoint an individual or panel of governors to work with the headteacher to deal with appointments and dismissals where this is considered necessary in the interest of preserving the religious character of the school.
1.1	Initial dismissal decisions ? All staff or below which level ?	<input type="text"/>	<input type="text"/>	
1.2	Appointment of staff ? All staff below Deputy head, or below which level ?	<input type="text"/>	<input type="text"/>	
2.	Does the school have any properly constituted Committees with responsibility for HR matters?	<input type="text"/>	<input type="text"/>	
2.1	If 'YES' please name:- (include any Committees with responsibility for HR-related budgets - eg staff salaries; CPD/training)			Although there is no legal requirement, Governing Bodies should have a Committee(s) to deal with general personnel matters, e.g. leave of absence, policies and procedures etc and pay issues. These may be the same or different committees. In addition the Governing Body must establish a staff discipline/dismissal committee and a staff discipline/dismissal appeals committee which can hear cases where exceptions referred to in (i) above apply. The Governing Body should establish an Appointments Panel (for members of the Leadership Group) and a Pay Committee.

Action Points/Notes

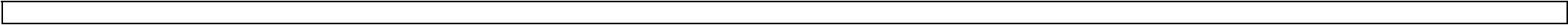
This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

		Yes/No √ or x	Date Agreed/ Reviewed	Notes
3.	Do the terms of reference for the above Committee(s) delegate authority from the Governing Body for making decisions on: (please name the relevant Committee in each case)			NB committees needed only where decisions have not/cannot be taken by the headteacher (see 1. above).
3.1	Dismissal of staff? (including misconduct/lack of capability/ill health/redundancy) <i>(name committee)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	
3.2	Disciplinary sanctions? <i>(name committee)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	
3.3	Grievances? <i>(name committee)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	
3.4	Applications for early retirement? (in accordance with the LA Policy) <i>(name committee)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	
3.6	Leave of absence? <i>(name committee)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	
3.6	Appointment of staff (at various levels)? <i>(name committee)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	
3.7	The Staffing Structure? <i>(name committee)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	

Action Points/Notes

		Yes/No √ or x	Date Agreed/ Reviewed	Notes
3.8	Staff Pay?	<input type="checkbox"/>	<input type="checkbox"/>	
	(name committee)	_____		
3.9	Headteachers' Performance Management & Pay	<input type="checkbox"/>	<input type="checkbox"/>	
	(name committee)	_____		
3.10	Monitoring of HR related activities?	<input type="checkbox"/>	<input type="checkbox"/>	Schools should record and monitor staff absences (sickness, other leave of absence), staff turnover (including undertaking exit interviews), recruitment difficulties, training, accidents at work, complaints against staff, ethnicity and disability of employees and applicants. The Governing Body should monitor this data to identify and address any unacceptable trends, levels etc.
3.10.1	If 'YES' please give details of any performance indicators established (eg absence rates; staff turnover, ethnicity, disability)	_____ _____		
3.11	Budget levels for staff costs?	<input type="checkbox"/>	<input type="checkbox"/>	
	(name committee)	_____		
3.12	Budget levels for CPD/training?	<input type="checkbox"/>	<input type="checkbox"/>	
	(name committee)	_____		
4.	Does the school have separate, properly constituted, Committee(s) for dealing with appeals on relevant HR matters referred to in Section 3 ?	<input type="checkbox"/>	<input type="checkbox"/>	(see notes at Sections 1. & 2. above)
	(name committees)	_____ _____ _____		

Action Points/Notes



This issue: Sept. 2007
Last issue: Dec. 2004
First Issue: 1998
Reference: HR/NH

SECTION B - POLICIES AND PROCEDURES

This section covers the range of policies, procedures and other processes which should be in place to facilitate effective personnel management in a school. All policies should be reviewed annually.

* indicates that the policy is mandatory.

		Yes/No √ or x	Date adopted by Governors	Notes
5.	Does the school have in place the following policies/procedures (covering all staff including the headteacher)			The HR Schools Team can provide model policy and procedural documents.
5.1	Capability Procedure:			
5.1.1	• for teaching staff*?	<input type="text"/>	<input type="text"/>	
5.1.2	• for support staff?	<input type="text"/>	<input type="text"/>	
5.2	Child Protection Personnel Procedures?	<input type="text"/>	<input type="text"/>	
5.3	Code of Conduct?	<input type="text"/>	<input type="text"/>	
5.4	Data Protection*?	<input type="text"/>	<input type="text"/>	
5.5	Disciplinary (Misconduct) Procedure*?	<input type="text"/>	<input type="text"/>	
5.6	Equal Opportunities in Employment Policy?	<input type="text"/>	<input type="text"/>	
5.7	Grievance Procedure*?	<input type="text"/>	<input type="text"/>	

Action Points/Notes

This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

		Yes/No √ or x	Date adopted by Governors	Notes
5.8	Leave of Absence Policy?	<input type="text"/>	<input type="text"/>	Additional separate guidance is available on Family Friendly Leave e.g. maternity, paternity etc.
5.9	Pay Policy*?	<input type="text"/>	<input type="text"/>	
5.10	Performance Management Policy?			
5.10.1	• for teaching staff*?	<input type="text"/>	<input type="text"/>	
6.10.2	• for support staff?	<input type="text"/>	<input type="text"/>	
5.11	Recruitment and Selection Policy?	<input type="text"/>	<input type="text"/>	
5.12	Redundancy & Redeployment Procedures?	<input type="text"/>	<input type="text"/>	
5.13	Sickness Absence Management Policy?	<input type="text"/>	<input type="text"/>	
5.14	Any other policies			
		<input type="text"/>	<input type="text"/>	
		<input type="text"/>	<input type="text"/>	
		<input type="text"/>	<input type="text"/>	
		<input type="text"/>	<input type="text"/>	
5.15	Does the school refer to the HR Administrators Handbook ?	<input type="text"/>		

Action Points/Notes

		Yes/No √ or x	Notes
5.15	Have governors and senior staff received appropriate training in the operation of these procedures?	<input type="text"/>	
5.15.1	Has the headteacher and at least one governor undertaken the Safer Recruitment on-line Training ?	<input type="text"/>	Those who have not registered should visit the Safer Recruitment website for further details of how to access or enrol for the training: www.ncsl.org.uk/saferrecruitment
5.16	Are all staff consulted about new policies and procedures prior to adoption and revision?	<input type="text"/>	Schools are required to consult on all policies. HR consults the Unions on behalf of schools on all of its model policies and procedures.
5.17	Do all staff have a copy of these procedures or know where to gain ready access to them?	<input type="text"/>	This can be through a central resource.
6.	Does the school have a staffing plan as part of the School Improvement Plan and a staffing structure within its Pay Policy?	<input type="text"/>	The staffing Structure must be included in the School's Pay Policy.
6.1	Are there procedures in place to monitor, evaluate and review the Staffing Plan/Structure in the light of school development and in consultation with staff?	<input type="text"/>	
6.2	Does the school give appropriate attention to work-life balance and explore options for flexible working ?	<input type="text"/>	There is a contractual obligation for all staff to be afforded a reasonable work-life balance.
6.2.1	Does the school monitor and review the allocation of Leadership, Management and Dedicated Headship Time?	<input type="text"/>	
7.	Performance Management		
7.1	Does the school operate effective performance management for all teaching staff?	<input type="text"/>	
7.2	Does the school have in place a performance management review scheme for all support staff?	<input type="text"/>	

Action Points/Notes

This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

		Yes/No √ or x	Notes
8.	Are there effective arrangements in place for identifying the training and development needs of all staff and for meeting those needs:		NB training and development need not just be attendance on course, but can include a full range of CPD e.g. work shadowing, research and reading, observation etc
8.1	• teaching staff?	<input type="text"/>	
8.2	• support staff?	<input type="text"/>	
8.2.1	Does a member of your support staff attend Personnel Surgeries ?	<input type="text"/>	Termly session to update on HR administration issues/processes.
8.3	Are there procedures in place for disseminating learning to other staff?	<input type="text"/>	
8.4	Are there procedures in place for evaluating the effectiveness of training and development:		
8.4.1	• against individuals' performance?	<input type="text"/>	
8.4.2	• against the School Improvement Plan?	<input type="text"/>	
8.4.3	• value for money?	<input type="text"/>	
8.5	Does the school have liP status?	<input type="text"/>	
9.	Does the school have effective arrangements for the induction of:		A formal inductions process is an extremely effective way of integrating staff into the school as well as their specific role and can help o avoid future difficulties.
9.1	• new staff?	<input type="text"/>	
9.2	• promoted staff ?	<input type="text"/>	
9.3	Does this include health & Safety induction ?	<input type="text"/>	This is a legal requirement. Contact H&S for advise.

Action Points/Notes

This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

		Yes/No √ or x	Notes
9.4	Does the school operate probationary procedures for:		
9.4.1	• all new support staff ?	<input type="text"/>	
9.4.2	• for teaching staff (Foundation or Aided Schools only can choose to place initial appointments on a probationary period) ?	<input type="text"/>	
9.5	Does the school have effective systems in place to monitor and report on the performance of New teachers during their Induction period?	<input type="text"/>	
9.6	Does the school have a staff handbook?	<input type="text"/>	
10.	Extended Schools		
10.1	Does the school offer the full Extended Schools Core Offer ?	<input type="text"/>	
10.2	Does the school directly employ staff to deliver extended services?	<input type="text"/>	
10.2.1	Is the school clear about the rules connected with contracts of employment and funding of posts from the delegated budget for extended schools work ?	<input type="text"/>	Guidance is available on the Extended Schools Infolink Site.

Action Points/Notes

This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

SECTION C – HR PROCESSES

This section covers the HR administrative systems/processes which should be in place to facilitate effective personnel management in a school.

		Yes/No √ or x	Notes
11.	Recruitment of Staff		
11.1	Are standard application forms always used including recruitment monitoring forms? including recruitment monitoring forms?	<input type="text"/>	Essex Community and VC schools should use standard Essex application form. Foundation and Aided and non-Essex schools can use these or their own forms. Under Safe Recruitment Guidance, CVs and non-standards applications should not be accepted.
11.2	Does the school have satisfactory arrangements for the keeping of records relating to applications and interviews for advertised vacancies, including monitoring ethnicity and disability of applicants	<input type="text"/>	
11.3	Does the school record the ethnic make-up of applicants and employees and pass this information to the Local Authority?	<input type="text"/>	Provision of ethnicity data is a statutory requirement under the Race Relations Amendment Act 2002
12.	Job Descriptions		
12.1	Does every member of staff have a current, up-to-date job description?	<input type="text"/>	
12.2	Are effective arrangements in place to review job descriptions regularly (including discussion with, and notification to staff)?	<input type="text"/>	

Action Points/Notes

This issue: Sept. 2007
Last issue: Dec. 2004
First Issue: 1998
Reference: HR/NH

		Yes/No √ or x	Notes	
13.	Pre-employment checks			
	Are there effective arrangements in place for:		All pre-employment checks should be completed prior to any offer of employment. Where an urgent offer is necessary, a conditional offer should be given. Refer to the model Recruitment and Selection Policy.	
13.1	Obtaining references on all staff?	<input type="text"/>		
13.2	Obtaining Enhanced Criminal Record Disclosure certificates for all staff?	<input type="text"/>		
13.3	Ensuring that the mandatory checks of List 99 and/or the Protection of Children Act list are undertaken?	<input type="text"/>		
13.4	Checking against Essex LA "List" ? (Essex schools only)	<input type="text"/>		
13.5	Obtaining Medical Clearance for staff? (to ensure they are fit for the post).	<input type="text"/>		Medical clearance should be sought on all new employees and employees who change posts within the school.
13.6	Obtaining the specified evidence that the candidate is eligible to work in this country (Asylum and Immigration Act 1996)?	<input type="text"/>		
13.7	Ensuring that individuals have a work permit if required	<input type="text"/>		
13.8	Ensuring also that individuals have "limited leave to remain in the UK"	<input type="text"/>		
13.9	Verifying identity ?	<input type="text"/>		
13.10	Are relevant checks carried out on volunteers as appropriate ?	<input type="text"/>		Relevant Safeguarding checks must be carried out on volunteers. Ref: Model Recruitment Policy.
13.11	Does the school have a single central record of completed recruitment and vetting checks?	<input type="text"/>		

Action Points/Notes

		Yes/No √ or x	Notes
14	Verification of Qualifications and Qualified Status		
14.1	Does the school have arrangements to verify for teaching staff:-		
14.1.1	That the individual appointed has qualified teacher status for teaching in England and Wales?	<input type="text"/>	
14.1.2	That the individual appointed also possesses the other qualifications they have listed?	<input type="text"/>	
14.1.3	That the individual appointed is registered with the General Teaching Council for England and Wales?	<input type="text"/>	All qualified teachers working in maintained schools must be registered with the GTC and school must check this
14.1.4	Last salary point? (including the outcome of any threshold assessment/progression)	<input type="text"/>	
14.2	Does the school have arrangements to verify qualifications for support staff where required?	<input type="text"/>	
15.	Contracts of Employment		
15.1	Does the school ensure that the contracts of employment and statement of further particulars are issued to staff within 8 weeks of the commencement of employment?	<input type="text"/>	This timescale is set down in law and schools can be fined for non-compliance
15.2	Does the school ensure that a signed contract is returned by the employee?	<input type="text"/>	The termination of a fixed contract is a dismissal in law and appropriate procedures must be followed. Refer to the model Redundancy Policy or seek advice from HR.
15.3	Are there protocols in place to ensure the correct procedures are followed for the termination of fixed-term contracts?	<input type="text"/>	

Action Points/Notes

This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

		Yes/No √ or x	Notes
16.	Payroll and Pension Arrangements		
16.1	Does the school have effective payroll arrangements either internally or through an appropriate Service Level agreement?	<input type="text"/>	
16.2	Does the school ensure that new entrants to the teaching profession receive information as required by pensions legislation?	<input type="text"/>	Essex Community, VC and VA schools can access Teachers' Records' 'starter packs'.
16.3	Does the school ensure that, on appointment, all members of support staff are provided with information about their pension rights as required by the pensions legislation?	<input type="text"/>	
16.4	Does the school provide all new staff with details of relevant Trade Unions/Professional Associations ?	<input type="text"/>	
16.5	Does the school have a system to identify employees 6-12 months before Age 65 ?	<input type="text"/>	Employers must write to employees 6-12 months prior to Age 65 giving notice of retirement and the right to request not to be retired. Seek HR advice.
17.	Annual Salary Review		
	Does the school have effective systems:		
	Teaching Staff:	<input type="text"/>	
17.1	To review salaries on 1st September? (statutory requirement)	<input type="text"/>	It is a statutory requirement to notify teaching staff in writing of their salary and how it is made up.
17.2	To assess salaries for newly appointed teaching staff?	<input type="text"/>	
17.3	To provide all teachers with a written statement of how their salary is made up each September and whenever their salary changes ?	<input type="text"/>	
	Support Staff:		
17.4	To review salaries annually, in accordance with school Pay Policy/Conditions of Service?	<input type="text"/>	
17.5	To assess salary point/scale upon appointment of new staff?	<input type="text"/>	

Action Points/Notes

This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

		Yes/No √ or x	Notes
18.	Personal Files		
18.1	Does the school have an effective system for maintaining a personnel record on each employee?	<input type="text"/>	
	An individual school personal file for each employee is recommended to include:		
18.1.1	Post details including job description and person specification	<input type="text"/>	A job description is not part of the contract of employment and should not be attached to it.
18.1.2	Application form	<input type="text"/>	
18.1.3	References	<input type="text"/>	
18.1.4	Confirmation of Criminal Record check	<input type="text"/>	
18.1.5	Confirmation of medical clearance	<input type="text"/>	
18.1.6	Verification of qualification details (as applicable)	<input type="text"/>	
18.1.7	Payroll documentation	<input type="text"/>	
18.1.8	Any pension documentation	<input type="text"/>	
18.1.9	Current home address, including telephone number	<input type="text"/>	
18.1.10	Easily accessible emergency telephone number in respect of partner/next of kin	<input type="text"/>	
18.1.11	Signed contract of employment including relevant conditions of service	<input type="text"/>	
18.1.12	Record of annual leave entitlement and leave taken (support staff, where applicable)	<input type="text"/>	
18.1.13	Probationary reports (where applicable), including confirmation of completion of probationary period (support staff)	<input type="text"/>	
18.1.14	Copies of medical certificates and return to work meeting records	<input type="text"/>	
18.1.15	Maternity/paternity/parental/adoption and other leave correspondence	<input type="text"/>	
18.1.16	Training course attendance and feedback following attendance	<input type="text"/>	

This issue: Sept. 2007
Last issue: Dec. 2004
First Issue: 1998
Reference: HR/NH

		Yes/No √ or x	Notes
18.1.17	Record of any meetings e.g. related to capability, disciplinary, ill health etc. procedures including any action taken, whether formal or informal	<input type="text"/>	
18.1.18	Copy of accident and incident reports, including any notification of relevant accidents/ incidents to the Health and Safety Executive	<input type="text"/>	
18.1.19	Record of absences, including sickness absence, compassionate leave, leave of Absence, parental leave?	<input type="text"/>	
18.2	Does the School have in place effective arrangements for the storage of personal files, ie lockable filing cabinet, with agreed keyholders eg headteacher and senior administrator?	<input type="text"/>	
19.	Accident and Incident Reporting		
19.1	Does the school have an effective system to ensure:-	<input type="text"/>	
19.2	Staff report accidents (and near misses) at work on the appropriate form?	<input type="text"/>	
19.3	Staff report incidents in relation to violence at work on the appropriate form?	<input type="text"/>	
19.4	Is the school aware of, and does it comply with, the statutory requirement to report certain incidents/accidents to the Health and Safety Executive?	<input type="text"/>	Accidents involving an absence from work of more than 3 days must be reported to the Health and Safety Executive.

Action Points/Notes

This issue: Sept. 2007
 Last issue: Dec. 2004
 First Issue: 1998
 Reference: HR/NH

For further information, additional copies of this document or to pass on your comments, please contact:

By telephone:

Michelle Ward
HR Officer, Schools HR Advisory Team on
01245 436837 or ednet 30837

By email:

michelle.ward@essexcc.gov.uk

By post:

Essex County Council
Human Resource Service
HR Schools Team
County Hall, Chelmsford CM2 6WN

Essex County Council – making Essex a better place to live and work

**The information contained in this leaflet can be made available in alternative formats: large print, Braille, audio tape or disk. We can also translate the information into languages
Please call 01245 434090**



INVESTOR IN PEOPLE



Printed on 75% recycled paper.