

**Local Government Staff Commission
For Northern Ireland**

Human Resource Standards

Workbook

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Overarching Human Resource Standards

Indicator 1 - Corporate Aims and Culture

ESTABLISH/LEVEL 1

There is corporate agreement of a vision, objectives, values, aims and priorities for the organisation.

ASSESSED BY

A written document setting out vision, objectives, values and priorities for the organisation that has been agreed by senior management and elected members.

Self Assessment Questions

Does your organisation have a document(s) that sets out an agreed vision, objectives, values, aims and priorities for the organisation? Yes No

If yes, which document(s)?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 1 on Page 8

Indicator 1 - Corporate Aims and Culture

STRENGTHEN/LEVEL 2

ASSESSED BY

The vision, aims and values are communicated to employees.

The vision, aims and values have been formulated so that employees can see how they can contribute to achievement.

Interview responses from employees confirming that they have been informed of the organisation's aims, vision and values and can describe their role in achieving them.

Self Assessment Questions

How have the vision, aims and values been communicated to employees in a way that is relevant to them?

How can you demonstrate that employees understand how they contribute to the achievement of the vision, aims and values?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 1 on Page 8

Indicator 1 - Corporate Aims and Culture

STRATEGIC INTEGRATION/LEVEL 3

There is a link between individuals' work activities and targets and the corporate aims, vision and values.

Employees share the vision, aims and values and demonstrate them in their work.

Management and staff confirm and describe organisational structures that are responsive to change.

ASSESSED BY

Managers can describe the link between strategic, business and operational plans at organisation and departmental/service level.

Staff at all levels can discuss activities that they undertake in order to achieve the vision, aims and values.

Management and staff can give examples of changes to the structures and working practices arising from difficulties or challenges in meeting the aims, vision and values or from the external environment and confirm that these changes are typical of the organisation's approach.

Self Assessment Questions

What evidence is there that staff understand the link between their work activities and targets and the organisation's corporate aims, vision and values?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 1 on Page 8

How do employees demonstrate the organisation's vision, aims and values in their work?

Please give examples of changing organisational structures in response to internal or external challenges (for example economic, legislative, political, environmental, etc)?

Indicator 1 - Corporate Aims and Culture

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

The organisation can demonstrate improved services in a way that can be linked directly to their aims, vision and values.

ASSESSED BY

Documentary evidence supported by examples from senior managers of service improvements across all departments and most services as a result of adopting the vision, aims and values.

Self Assessment Questions

What measurements and evidence does your organisation have of improved services that can be linked directly to its aims, vision and values?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 1 on Page 8

Indicator 1 - Corporate Aims and Culture

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 2 - Internal Communications

ESTABLISH/LEVEL 1

The organisation complies with statutory requirements for information and consultation, for example in Redundancy, Freedom of Information, Section 75 and Data Protection.

ASSESSED BY

Policies, procedures and other written records that confirm the supplying of information and that consultation has been undertaken in respect of Redundancy (if relevant), Freedom of Information, Section 75 and Data Protection.

Self Assessment Questions

What actions does your organisation undertake to ensure compliance with statutory requirements for information and consultation, for example in Redundancy, Freedom of Information, Section 75, Data Protection and the Information & Consultation Regulations?

Indicator 2 - Internal Communications

STRENGTHEN/LEVEL 2

There is a defined strategy/plan for internal communication that has defined targets and been implemented and reviewed.

Managers are supported to communicate effectively, for example, through relevant training, the provision of team briefing materials and/or mentoring support from senior managers.

Records are maintained that give managers access to statistics and trend information on the full range of Human Resource issues.

Opportunities exist for views of service users to be taken into account.

ASSESSED BY

Organisation strategy/plan for internal communication that has measurable targets with evidence that action has been taken to meet these targets, target achievement has been measured and that there has been a review of this strategy/plan and targets.

Training/coaching/mentoring of communication skills for managers who have staff reporting to them. A communications procedure and confirmation from managers that they have received appropriate training or support.

Statistical records and trend information is available. At interview managers confirm that they routinely have access to this information and can discuss current trends and their implications. A means of consulting service users exists and is used at least annually. Senior managers can give examples of changes to services arising from service users' comments.

Self Assessment Questions

Is there a defined strategy/plan for internal communication that has defined targets and been implemented and reviewed? Yes No

If yes, where can this information be found?

How are managers supported to communicate effectively (for example, through relevant training, the provision of team briefing materials and/or mentoring support from senior managers)?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 2 on Page 15

What management information is provided by the HR department to managers to assist them in meeting their objectives (for example, statistics and trend information on absenteeism, completion of appraisals, staff satisfaction data, spend on training plans, discipline, grievance and harassment)? N.B. Consider what information is given to senior, supervisory and line management.

How is this information provided to managers?

How are the views of service users gathered and responded to?

Indicator 2 - Internal Communications

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

Departments/services communicate effectively with each other through for example, joint projects and formal communication events.

Employees are satisfied with the amount, timeliness and quality of communication from more senior management.

Employees report that communications are two way and their views and suggestions are taken seriously and responded to.

Documentary evidence of interdepartmental working and communication over a period of at least one year and involving all departments.

Interview responses from employees confirm satisfaction with the amount and timeliness of communication from senior management and that their views are asked for and listened to.

Self Assessment Questions

How do departments/services communicate with each other (for example, through joint projects, formal communication events)?

What mechanisms are used to measure the effectiveness of these interdepartmental communications?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 2 on Page 15

What evidence is there that employees are satisfied with the amount, timeliness and quality of communication received from more senior management?

Are communications with employees two way? Yes No

What evidence does your organisation have that employees' views and suggestions are taken seriously and responded to?

Indicator 2 - Internal Communications

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

Management review and report on statistical information in relation to employee relations, equality and learning and development at least annually.

ASSESSED BY

Records of review and examples of changes made that can be directly attributed to this review in employee relations, equality and learning and development.

Self Assessment Questions

As a department, what reviews and reports do management undertake on statistical information in relation to employee relations, equality and learning and development?

How frequently do these reviews occur?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 2 on Page 15

Indicator 2 – Internal Communications

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 3 – Performance Management

ESTABLISH/LEVEL 1

ASSESSED BY

<p>All employees key responsibilities are defined through for example, job descriptions for every post.</p> <p>Staff are aware of their roles and responsibilities.</p>	<p>Job descriptions / Grade descriptions or other document for every post with key responsibilities clearly defined.</p>
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Self Assessment Question

Are the key responsibilities of all employees defined (through for example, job descriptions) for every post? Yes No

Are new recruits inducted into their roles and responsibilities? Yes No

STRENGTHEN/LEVEL 2

ASSESSED BY

<p>Key output areas and individual objectives are discussed and agreed with the employees at least once per year. These are clearly linked to service and corporate plans.</p> <p>Employee performance against key output areas and objectives is appraised at least once per year and development needs identified and met.</p> <p>The development needs of those with responsibility for carrying out performance reviews are identified and met both in respect of carrying out the reviews and in supporting employees' development.</p>	<p>A consistent process of performance review that includes employees from all departments and is confirmed in documentary and interview evidence. Employees confirm that targets are set and are able to describe how these relate to service and corporate plans. Those with responsibility for appraising the performance of other staff confirm that that they have received appropriate training and/or support in how to carry out that role.</p>
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Self Assessment Questions

Are key output areas and individual objectives discussed and agreed with all the employees at least once per year? Fully Partially No

If Partially, what percentage are completed: _____%

Are these key output areas clearly linked to service and corporate plans?

Fully Partially No

If Partially, what percentage are completed: _____%

Is there an employee performance review process (for all employees) where key output areas and objectives are appraised at least once per year and development needs identified and met?

Fully Partially No

If Partially, what percentage are completed: _____%

Are the development needs of those with responsibility for carrying out performance reviews identified and met both in respect of carrying out the reviews and in supporting employees' development? Fully Partially No

If fully or partially, how is this done?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 3 on Page 19

Indicator 3 – Performance Management

STRATEGIC INTEGRATION/LEVEL 3

There is coherence and a clear link between objectives, goals and targets at organisational, team/department/service and individual levels.

There is strategic integration, measurement and evaluation of performance measures/initiatives.

ASSESSED BY

Documentary evidence of the link between objectives, goals and targets at all the levels. Managers throughout the organisation are able to discuss this link as it relates to their department and service.

Self Assessment Questions

What evidence is there of the clarity and coherence of the link between objectives, goals and targets at Organisational level, Team/ Department/ Service level and Individual level?

What evidence is there that the measurement and evaluation of performance measures/ initiatives is clear and appropriate?

Indicator 3 – Performance Management

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

The organisation can demonstrate that corporate/strategic team/service and individual objectives are being consistently met.

The organisation can demonstrate that measures and objectives set at organisational, team/service and individual level are relevant and add value.

ASSESSED BY

Documentary evidence of target achievement across all departments and services. At interview, employees are able to discuss how individual and team targets are being met. Senior management are able to describe service improvements and increased service user satisfaction levels that link to targets and objectives previously set.

Self Assessment Questions

What evidence is there that objectives are being met at Corporate/Strategic level, Team/Service level and Individual level?

Give examples of changes or improvements to your Performance Management System that have added value to the process?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 3 on Page 19

Indicator 3 – Performance Management

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 4 – HR Unit Performance Capacity

ESTABLISH/LEVEL 1

The HR Unit has a departmental plan linked to the corporate plan.

ASSESSED BY

A Human Resource (HR) plan that includes objectives and targets in employee relations, recruitment, equality and learning and development. Human Resource (HR) professionals must confirm and be able to describe the link between the HR plan and the corporate plan.

Self Assessment Questions

Has the HR Unit a departmental plan linked to the corporate plan? Yes No

If yes, in which document(s)?

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IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 4 on Page 24

Indicator 4 – HR Unit Performance Capacity

STRENGTHEN/LEVEL 2

ASSESSED BY

<p>Performance information relevant to the HR plan is gathered, collated, interpreted and acted on.</p> <p>The HR Unit undertakes service related benchmarking activities.</p> <p>The HR Unit evaluates all initiatives for their contribution to overall organisational performance.</p>	<p>Documentary evidence on HR performance against planned objectives and evidence of changes/improvements arising from that. Benchmarking activities to include measurement against the HR practices of other organisations and/or accepted good practice guides and standards. Documentary evidence of reviews of HR initiatives in learning and development, employee relations and equality; HR professionals are able to describe the impact that these initiatives have had on the organisation's performance.</p>
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Self Assessment Questions

What performance information relevant to the HR plan is gathered, collated, interpreted and acted on?

What service related benchmarking activities (if any) does the HR Unit undertake?

How does the HR Unit evaluate initiatives for their contribution to overall organisational performance?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 4 on Page 24

Indicator 4 – HR Unit Performance Capacity

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

HR inputs to the organisation's performance and the management agenda at a strategic level.

The HR Unit undertakes stakeholder analysis with regard to quality of service provided and can describe changes made as a result.

Documentary evidence of HR input into organisation strategy. HR professionals confirm and are able to describe the impact of HR input on the organisation's strategy. Documentary and interview evidence of stakeholder analysis and of changes/improvements arising from that analysis.

Self Assessment Questions

How does the HR Unit input into the organisation's performance and the management agenda at a strategic level?

What stakeholder analysis does the HR Unit undertake with regard to quality of service provided?

What changes has the HR Unit made as a result of stakeholder feedback and analysis?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 4 on Page 24

Indicator 4 – HR Unit Performance Capacity

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

ASSESSED BY

The HR Unit can describe how departmental and individual task and quality objectives are being addressed and met.

The HR Unit can describe and demonstrate its contribution to meeting organisation vision, values, aims and targets.

Interview evidence from HR professionals supported by documentary evidence.

Self Assessment Questions

How can the HR Unit demonstrate that departmental and individual task and quality objectives are being addressed and met?

What contribution does the HR Unit make to meeting the organisation's vision, values, aims and targets?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 4 on Page 24

Indicator 4 – HR Unit Performance/Capacity

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Employee Relations Human Resource Standards

Indicator 5 – Absence Management

ESTABLISH/LEVEL 1	ASSESSED BY
<p>The organisation has an agreed absence policy, based on good practice (such as the LGSC Model) with the statutory minimum level of procedures.</p> <p>The Absence Policy is communicated to all employees and new starts.</p> <p>Recording of absence procedures that meet Local Government Audit reporting requirements are undertaken.</p>	<p>Written policies follow a recognised good practice guide. Employee interview evidence that the Absence Policy has been communicated to them and confirmation that they know where to get access to the policy; written confirmation from auditor that the recording meets requirements or HR professionals are able to describe how their absence procedures meet audit requirements.</p>

Self Assessment Questions

Has the organisation an agreed absence policy, based on good practice (such as the LGSC Model) with the statutory minimum level of procedures? Yes No

If yes, in which documents can this policy be found?

If yes, how have you ensured that the policy complies with a good practice standard?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 5 on Page 35

How is the absence policy communicated to all employees and new starts?

How effective is that communication process?

How is absence recorded?

Does your organisation's absence recording system generate reports that fully comply with Local Government Audit reporting requirements?

Fully Partially No

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 5 on Page 35

Indicator 5 – Absence Management

STRENGTHEN/LEVEL 2

Absence management procedures are applied fairly and consistently across departments and sections.

Guidelines and training in absence management are provided for managers and supervisors.

The operation and effectiveness of the absence management procedures are reviewed and evaluated regularly.

Managers at all levels confirm the effectiveness of the absence arrangements and their commitment to operating them.

Absence statistics and issues are reported regularly (at least once per quarter) to the senior management team and to Council.

An effective system of occupational health support for employees and the organisation is in place.

ASSESSED BY

Interview evidence from staff of the fairness of how absence procedures are applied.

At interview managers confirm that they have received training on absence management, that the approach is applied consistently and that it has been effective in addressing absence issues.

HR professionals or managers from other sections can describe improvements in absence arising from the application of the procedures.

Documentary evidence of presentation to and review of absence statistics by the senior management team and the Council.

Self Assessment Questions

How consistent and fair is the application of absence management procedures across and within departments and sections?

What guidelines and training in absence management are provided for managers and supervisors?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 5 on Page 35

How often do you review:

- Absence Management Policies and Procedures?
- The effectiveness of Absence Management Policies and Procedures?

What changes have been made as a result of reviewing:

- Absence Management Policies and Procedures?
- The effectiveness of Absence Management Policies and Procedures?

What evidence is there to show that employees and their representatives feel that the organisation demonstrates a commitment to employee health and well-being?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 5 on Page 35

What evidence is there to show that managers consider the absence management procedures to be supportive and effective in managing absence?

Do managers at every level understand their role and accept their responsibility under the absence management policy and procedures?

How often are absence statistics and issues reported and considered by:

- The senior management team?
- The Council?

What system of occupational health support for employees and the organisation is in place?

How effective is that system:

- For employees?
- For the organisation?

Indicator 5 – Absence Management

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

<p>Internal best practice on absence management is shared between departments.</p> <p>Employee welfare and well-being issues are addressed through the provision of employee assistance programmes, etc.</p> <p>First line managers and supervisors take primary responsibility for absence management in their area.</p> <p>Targets for reduction are set and action is taken and reviewed.</p> <p>The organisation's health and safety record is considered at a corporate level and steps are taken to address any issues identified.</p>	<p>Documentary and interview evidence of the sharing of best practice between departments and of the provision of employee assistance programmes.</p> <p>Managers and supervisors confirm that they take primary responsibility for absence management among their staff.</p> <p>Written evidence of target setting and review of targets.</p> <p>Written evidence of senior management consideration of health and safety and at interview senior managers can describe the steps taken to address any issues arising.</p>
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Self Assessment Questions

How is internal best practice on absence management shared between departments?

Does the organisation have an employee assistance or similar programme (for example access to counselling, welfare provisions etc)?

Yes No

If yes, how well does it address employee welfare and well-being issues?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 5 on Page 35

How well do first line managers and supervisors take responsibility for absence management in their area of responsibility?

What targets (if any) have been set for absence reduction and to what extent have these targets been met?

Based on these targets what action has been taken?

Is the organisation's health and safety record considered at a corporate level? Yes No

If yes, what issues have been identified and what steps have been taken to address those issues?

Indicator 5 – Absence Management

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

ASSESSED BY

The organisation can demonstrate an effective process of absence management that minimises disruption.	Absence statistics that demonstrate the link between initiatives and improvements in the context of targets set.
The organisation undertakes absence management benchmarking activities.	HR professionals and/or senior managers can describe internal and external benchmarking activities and changes made as a result of these activities.
Targets set for the reduction of absenteeism levels are met.	Confirmation from employees at interview that the organisation is interested in their well-being
Employees feel that the organisation demonstrates a commitment to their health and well-being.	

Self Assessment Questions

What evidence do you have that your absence management is an effective process that is embedded in the organisation and minimises disruption?

What absence management benchmarking activities has the organisation undertaken?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 5 on Page 35

Indicator 5 – Absence Management

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 6 – Implementation of Policies and Procedures

ESTABLISH/LEVEL 1

Policies and procedures cover statutory minimum requirements in relation to conduct, capability, redundancy, harassment, health and safety, discipline and grievance.

Policies and procedures are communicated to all employees and new starts.

Systems are in place to ensure that policies and procedures are applied fairly and consistently.

ASSESSED BY

Review of content of written policies and procedures on conduct, capability, redundancy, harassment, health and safety, discipline and grievance against statutory requirements.

Employees and new starts confirm that information on policies is given during induction and that they know how to get access to these policies. Confirmation by managers and other employees at interview that procedures are applied fairly and consistently.

Self Assessment Questions

Does the organisation have policies and procedures that cover statutory minimum requirements in relation to conduct, redundancy, harassment, health and safety, discipline and grievance?

Yes No

If yes, which documents contain these policies and procedures?

How are policies and procedures communicated to all employees and new starts?

What systems are in place to ensure that policies and procedures are applied fairly and consistently?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 6 on Page 42

Indicator 6 – Implementation of Policies and Procedures

STRENGTHEN/LEVEL 2

Policies and procedures meet relevant Statutory Codes of Practice for example, ECNI, LRA.

Relevant guidelines and training for employees and managers is provided.

Regular (at least every three years or to an externally defined standard) review and evaluation of policies and procedures is undertaken.

Managers understand and are committed to implementing all relevant policies and procedures.

In the event of disagreement the organisation has an Alternative Dispute Resolution (ADR) process.

ASSESSED BY

Evidence that the organisation has taken steps to have its policies and procedures 'proofed' against statutory Codes of Practice.

Managers and other employees confirm that training on guidelines in respect of conduct, capability, redundancy, harassment, health and safety, discipline and grievance has been received.

Documentary evidence of review and changes made to these policies and procedures.

Managers confirm at interview their understanding of and commitment to these policies. Written confirmation of the organisation's Alternative Dispute Resolution (ADR) process.

Self Assessment Questions

Do policies and procedures meet relevant Statutory Codes of Practice?

Yes

No

What guidelines and training is provided for managers and other employees?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 6 on Page 42

How frequently are these policies and procedures reviewed?

Do managers at every level understand their role and accept their responsibility for implementing relevant policies and procedures?

Does the organisation have Alternative Dispute Resolution (ADR) processes (for example, conciliation stage, workplace mediation scheme, etc.)? Yes No

If yes, where are they?

Indicator 6 – Implementation of Policies and Procedures

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

Employees and their representatives (such as trade unions) confirm that organisation policies and procedures are developed through a process of consultation and implemented effectively.

Interview confirmation from Trade Union representatives and other employees of consultation in policy development, of the effectiveness of the implementation process and of the ADR process.

Employees and their representatives (such as trade unions) confirm that an effective process of Alternative Dispute Resolution (ADR) exists.

Self Assessment Questions

What evidence is there that employees and their representatives (such as trade unions) are satisfied that organisation policies and procedures are developed through a process of consultation and implemented effectively?

How can you demonstrate that employees and their representatives (such as trade unions) feel that the Alternative Dispute Resolution (ADR) processes are effective?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 6 on Page 42

Indicator 6 – Implementation of Policies and Procedures

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

ASSESSED BY

Employee satisfaction measures confirm a high level of satisfaction with the process of policy and procedure implementation.	Employee satisfaction survey and/or interview confirmation of a high level (80% or above) of satisfaction with the process of policy implementation.
Managers confirm a consistent and effective process of policy and procedure implementation.	Managers confirm at interview effective policy and procedure implementation.
The organisation can demonstrate that management and staff behaviour is consistent with corporate values and organisational policies and procedures.	Senior managers can describe the consistency between staff behaviour, corporate values and policy/procedure implementation.

Self Assessment Questions

What evidence is there that your policy and procedure implementation process is embedded and effective throughout the organisation?

How does the organisation measure that management and staff behaviour is consistent with corporate values and organisational policies and procedures?

[Empty response box]

Indicator 6 – Implementation of Policies and Procedures

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 7 - Information, Consultation and Negotiation

ESTABLISH/LEVEL 1

ASSESSED BY

The organisation has formal communication mechanisms (that include both trade union and non trade union members).	Interview confirmation from trade union and other employees of formal communication procedures.
The organisation complies with statutory requirements for information and consultation in for example, Redundancy, Recognition Agreement, Section 75 and Freedom of Information.	Review of documentary evidence in respect of Redundancy (if relevant) Recognition Agreement, Section 75 and Freedom of Information consultations and communications.

Self Assessment Questions

What formal communication mechanisms does your organisation have?

Are there mechanisms for consulting with non-trade union members? Yes No

How does your organisation comply with statutory requirements for information and consultation (for example in Redundancy, Recognition Agreement, Section 75 and Freedom of Information)?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 7 on Page 50

Indicator 7 - Information, Consultation and Negotiation

STRENGTHEN/LEVEL 2

ASSESSED BY

<p>Formal policies, procedures or strategies on information, consultation and negotiation are in place.</p> <p>A Facilities Agreement is in place and is applied consistently.</p> <p>There is compliance with Relevant Codes of Practice, for example, ECNI, LRA.</p> <p>In the event of disputes or disagreements there are agreed processes for Alternative Dispute Resolution (ADR).</p>	<p>Documentary evidence of policies, procedures and/or strategies on information, consultation, negotiation and a facilities agreement.</p> <p>Interview confirmation from managers, trade union representatives and other employees that the policies and procedures are applied consistently. Evidence that procedures and strategies have been proofed to comply with Equality Commission (ECNI) and Labour Relations Agency (LRA) Codes of Practice.</p> <p>Documentary evidence that the organisation collects and reports information on consultation and negotiations. Documentary evidence of an agreed ADR process.</p>
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Self Assessment Questions

What formal policies, procedures or strategies on information, consultation and negotiation does your organisation have?

Is there a Facilities Agreement in place? Yes No

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 7 on Page 50

Is it applied consistently?

What steps have you taken to comply with statutory Codes of Practice?

Are there Alternative Dispute Resolution processes (ADR) in place (for example conciliation, mediation and arbitration)? Yes No

If yes, what are they and who are they agreed with?

Indicator 7 - Information, Consultation and Negotiation

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

<p>Information, negotiation and consultation processes are embedded in every service, department and team.</p> <p>Employees and their representatives (such as trade unions) confirm that the communication mechanisms work effectively.</p> <p>Employees and their representatives (such as trade unions) confirm that an effective process of Alternative Dispute Resolution (ADR) operates.</p>	<p>Interview confirmation from all departments, services and teams that information, negotiation and consultation processes are operated effectively.</p> <p>Trade union representatives and other employees confirm at interview that communication mechanisms described by management are effective and if relevant that the ADR has been implemented effectively.</p>
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Self Assessment Questions

Can you give evidence that the information, negotiation and consultation processes in the organisation are embedded in every service, department and team in the organisation?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 7 on Page 50

How can you evidence that employees and their representatives (such as trade unions) are satisfied with your organisation's communication mechanisms?

How can you demonstrate that employees and their representatives (such as trade unions) feel that the ADR processes within the organisation are effective?

Indicator 7 - Information, Consultation and Negotiation

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

ASSESSED BY

<p>Employees confirm satisfaction with communication within the organisation including communications from corporate level and those within and between departments, services and teams.</p> <p>The organisation can demonstrate a clear link between information, consultation and negotiation procedures and achieving its corporate aims and objectives.</p>	<p>Interview evidence from managers, trade union representatives and other staff of the effectiveness of communications.</p> <p>Senior managers are able to give examples of how improving corporate communications has helped the organisation achieve its corporate aims.</p>
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Self Assessment Questions

Have you measured employee satisfaction with communication within the organisation including corporate communications, within and between departments, services and teams?

Yes No

If yes, what is the level of satisfaction? _____%

What evidence do you have of the link between information, consultation and negotiation procedures and your organisation achieving its corporate aims and objectives?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 7 on Page 50

Indicator 7 - Information, Consultation and Negotiation

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 8 - Organisation Reviews

ESTABLISH/LEVEL 1

The organisation meets the statutory provisions on issues of organisational change such as, consultation for redundancy/redeployments, TUPE etc.

ASSESSED BY

Documentary evidence of policies and procedures on redundancy and TUPE. HR professionals can describe how policies and procedures comply with statutory requirements. Evidence that procedures have been implemented, if relevant.

Self Assessment Question

How does your organisation meet the statutory provisions on issues of organisational change such as, consultation for redundancy/redeployments and TUPE?

Indicator 8 - Organisation Reviews

STRENGTHEN/LEVEL 2

ASSESSED BY

<p>Effective planning and analysis processes in respect of organisational change exist.</p> <p>There are defined protocols to manage change (for example LGSC Guidance).</p> <p>A consistent process of involvement and participation in planning and implementing change exists and operates consistently across the organisation.</p>	<p>Documentary and interview confirmation that HR elements of organisational change are effectively implemented and managed in line with good practice guides.</p> <p>Managers, trade union representatives and other staff confirm the consistency of the application of consultation and involvement of staff in planning change.</p>
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Self Assessment Questions

What planning and analysis processes exist in respect of organisational change?

What defined protocols to manage change do you use (for example LGSC Guidance)?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 8 on Page 58

How do you ensure compliance with these protocols?

How does the organisation ensure staff and their representatives are involved and participate in planning and implementing change?

How consistent is this across the organisation?

Indicator 8 - Organisation Reviews

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

There is evidence of innovation across a range of departments and corporately.

There are established procedures for identifying and meeting changing staff knowledge, skills and behaviour requirements.

Pay and reward systems facilitate flexibility.

Managers in more than 80% of departments can describe innovative changes in structure and service delivery. Staff confirm that when change is planned and implemented that their learning and development needs are assessed and met. Senior managers can give examples of how pay and reward systems have facilitated flexibility in working arrangements and service delivery.

Self Assessment Questions

What evidence is there of innovation in different departments and corporately?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 8 on Page 58

What procedures have been established for identifying and meeting changing staff competency (knowledge, skills and behaviours) requirements?

How does your organisation's pay and reward systems facilitate flexibility?

Indicator 8 - Organisation Reviews

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

The organisation can demonstrate that processes for implementing change have consistently met goals, targets and/or needs.

Employees report satisfaction with the approach and processes by which the organisation manages change.

ASSESSED BY

Senior managers can give examples of changes that have resulted in improved service delivery and target achievement, documentary evidence also confirms this. Employee satisfaction measures and/or interview evidence confirm high (80% or better) levels of satisfaction with the way the organisation has managed change.

Self Assessment Questions

What evidence do you have that your organisation's processes for implementing change have helped it meet its corporate goals, targets and/or needs?

What steps has your organisation taken to measure staff satisfaction with the approach and processes by which the organisation manages change?

What have been the outcomes of these measures?

Indicator 8 – Organisation Reviews

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 9 - Pay, Benefits and Conditions of Service

ESTABLISH/LEVEL 1

ASSESSED BY

The organisation meets its statutory minimum requirements for contracts of employment and national minimum wage.

Employees understand their conditions of employment.

Pay systems comply with all legal requirements e.g. equal pay.

Documentary evidence that confirms the organisation is meeting statutory requirements for contracts of employment and national minimum wage. Interview confirmation that employees understand their conditions of employment and that they know where they can get access to information on these. Relevant managers can describe how their pay systems have been proofed to ensure how they comply with legal requirements.

Self Assessment Questions

What evidence is there that your organisation meets its statutory minimum requirements for contracts of employment and national minimum wage?

What evidence is there that employees understand their conditions of employment?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 9 on Page 66

How is additional information on pay and conditions communicated to all employees?

How effective is that communication process?

Are employees aware that they have access to this information? Yes No

How can you demonstrate that your organisation's pay systems comply with all legal requirements (for example, equal pay, single status, etc)?

Indicator 9 - Pay, Benefits and Conditions of Service

STRENGTHEN/LEVEL 2

ASSESSED BY

<p>Employees can describe how their pay is determined.</p> <p>Pay, benefits and conditions of service are described in an Employee Handbook or similar document circulated to all employees and new recruits.</p> <p>The organisation has completed an equal pay audit in line with ECNI guidance.</p>	<p>Interview confirmation from employees and new recruits that they understand how their pay is determined and that they have received information on conditions of service. Managers can describe how conditions of service are above the minimum required. Documentary evidence of completion of an equal pay audit in line with ECNI guidance.</p>
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Self Assessment Questions

Do employees understand the system for determining pay in your organisation (for example, negotiated pay agreements, trade union representation, etc)?

Can you demonstrate that employees know where to access information on their pay queries?

Where are pay, benefits and conditions of service described?

Do all employees and new recruits know where to access this information?

Yes No

Has the organisation completed an Equal Pay Audit? Yes No

If yes, what changes were made as a result of this audit?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 9 on Page 66

Indicator 9 - Pay, Benefits and Conditions of Service

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

All employees have personal direct access to information on pay and conditions for example through an intranet facility.

Pay and benefits systems impact positively on organisational performance.

Conditions of service above the minimum defined in NIJC/NJC agreements are offered and reflect business needs.

Pay, conditions and benefits packages are attracting and retaining the right people and rewarding high performance.

Interview confirmation by employees of direct access to information on pay and conditions.

Senior managers can describe the positive impact of pay, conditions and benefits on organisational performance and on how they attract and retain staff and how they reward high performance.

Self Assessment Questions

What personal direct access to information on pay and conditions (for example through an intranet facility) are employees given?

What evidence does the organisation have that the pay and benefits systems impact positively on organisational performance?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 9 on Page 66

What conditions of service above the minimum defined in NIJC/NJC agreements are offered by your organisation?

How have these been influenced by specific business needs?

What evidence does your organisation have that pay, conditions and benefits packages are attracting and retaining the right people and rewarding high performance?

Indicator 9 - Pay, Benefits and Conditions of Service

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

The organisation can demonstrate that its pay, benefits and conditions packages result in levels of recruitment, retention and employee turnover that meet corporate aims.

The organisation can demonstrate value for money in its approach to pay, benefits and conditions of service.

ASSESSED BY

Documentary evidence of improved recruitment and retention and the link to achieving corporate aims.

Documentary evidence of a value for money review in respect of the implementation of pay, benefits and conditions of service approaches.

Self Assessment Questions

What evidence does the organisation have that its pay, benefits and conditions packages result in levels of recruitment, retention and employee turnover that meet corporate aims?

What evidence does the organisation have that its approach ensures value for money arising from the pay, benefits and conditions of service packages it operates?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 9 on Page 66

Indicator 9 – Pay, Benefits and Conditions of Service

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Equality of Opportunity Human Resource Standards

Indicator 10 – Commitment to Equality

ESTABLISH/LEVEL 1

ASSESSED BY

<p>The organisation has policies and procedures to ensure equality for its employees, applicants and service users.</p> <p>There are established communication systems in respect of equality issues.</p> <p>There is a programme of training on rights and responsibilities in respect of equality.</p> <p>Policies and procedures are reviewed regularly and equality proofed.</p> <p>The organisation has established monitoring systems in respect of equality.</p>	<p>Documentary evidence of equality policies and procedures that include employees, applicants and service users in the context of human resources.</p> <p>Documentary evidence and interview confirmation by staff of communication systems in respect of equality, training for staff in equality, documentary evidence of review, equality proofing and monitoring procedures in respect of equality.</p>
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Self Assessment Questions

What policies and procedures does your organisation have that ensure equality for its employees, applicants and service users in the context of human resources?

What communication systems has your organisation established in respect of equality issues?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 10 on Page 77

What programmes of training on rights and responsibilities in respect of equality has your organisation given to its staff?

What process of equality proofing of policies and procedures does your organisation undertake?

What monitoring systems has your organisation established in respect of equality?

Indicator 10 – Commitment to Equality

STRENGTHEN/LEVEL 2

Staff can describe equality issues, rights and responsibilities.

Targeted communication is undertaken in respect of equality issues.

Staff have equality indicators, targets and personal performance plans.

There is a regular (at least annually) evaluation and continual improvement of equality monitoring systems in consultation with representatives of staff and Section 75 equality groups.

ASSESSED BY

Interview confirmation of communication on equality issues and staff can also describe the associated rights and responsibilities.

Documentary evidence of annual or more frequent reviews of equality monitoring and improvement actions of human resource activities.

Interview confirmation by staff representatives that consultation and review is ongoing.

Self Assessment Questions

How do you measure and evidence that staff can describe equality issues, rights and responsibilities?

What targeted communication is undertaken in respect of equality issues?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 10 on Page 77

What evidence is there that equality indicators and targets are reflected in staff personal performance plans?

What evaluation and improvement activities are undertaken in respect of equality monitoring?

How frequently do these occur?

Are staff representatives involved in reviews of equality monitoring of human resource activities and policies?

What Section 75 equality groups are consulted as part of these evaluations?

Indicator 10 – Commitment to Equality

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

<p>Equality issues are linked directly to the strategic aims and objectives of the organisation.</p> <p>There are continually improving communication systems in respect of equality.</p> <p>The organisation uses examples of best practice in equality to ensure the quality of their approach.</p> <p>The results of equality monitoring inform the process of policy development and review.</p>	<p>HR professionals can describe the link between equality issues and corporate aims and objectives, improvements made to communication on equality issues and the external standards of good practice used to ensure the quality of the approach to equality.</p>
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Self Assessment Questions

What evidence is there that equality issues are reflected in the strategic aims and objectives of your organisation?

What evidence does your organisation have of continually improving communication systems in respect of equality?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 10 on Page 77

What examples of equality/research best practice does your organisation use to ensure that its approach to equality of opportunity is appropriate?

How do the results of equality monitoring inform the process of policy development and review?

Indicator 10 – Commitment to Equality

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

ASSESSED BY

<p>The impact of equality initiatives on organisational performance can be measured and demonstrated.</p> <p>Senior management can demonstrate how relationships with targeted groups have been improved.</p> <p>There are objective measures of improvements in services and in the whole organisation attributable to equality initiatives.</p> <p>Senior management can demonstrate how they measure the effectiveness of equality policies and procedures.</p> <p>Senior management can demonstrate how they measure the effectiveness of monitoring systems.</p>	<p>Documentary evidence of the impact of equality initiatives on organisational results.</p> <p>HR professionals can describe and provide supporting documentary evidence of improved relationships with targeted groups.</p> <p>Senior managers can describe how the effectiveness of equality policies and procedures are measured and give examples of improvements.</p>
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Self Assessment Questions

How does the organisation measure the impact of equality initiatives on its organisational performance (for example, through equality related key performance indicators or service user attitude surveys)?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 10 on Page 77

What evidence does the organisation have of improved communications and / or relationships with targeted groups?

What evidence does the organisation have of improved services attributable to equality initiatives (in the context of human resource activities)?

How does the organisation measure the effectiveness of equality policies and procedures?

How does the organisation measure the effectiveness of equality monitoring systems?

Indicator 10 – Commitment to Equality

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 11 – Equal Working Environment

ESTABLISH/LEVEL 1

The organisation has established, implemented and communicated policies and procedures for a good and harmonious working environment free from all forms of discriminatory behaviour.

ASSESSED BY

Documentary evidence of policies and procedures on working environment. Staff confirm at interview that management has communicated its policies on ensuring a harmonious working environment

Self Assessment Questions

What policies and procedures has your organisation established and implemented for a good and harmonious working environment free from all forms of discriminatory behaviour?

How has the organisation communicated these policies and procedures to staff, elected members and others?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 11 on Page 82

Indicator 11 – Equal Working Environment

STRENGTHEN/LEVEL 2

Policies and procedures for a good and harmonious working environment are consistently applied and taken up by staff.

ASSESSED BY

Staff confirm that the working environment is harmonious and where relevant can give examples of actions taken by management to address issues of harassment or discriminatory behaviour.

Self Assessment Questions

How can you demonstrate consistency in the application of policies and procedures for a good and harmonious working environment?

How have you ensured that staff understand how to use these policies and procedures?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 11 on Page 82

Indicator 11 – Equal Working Environment

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

There is a process of continual improvement in policies and procedures for a good and harmonious working environment.

HR professionals and senior managers can give examples of continuous improvements in policies and in the reality of ensuring a harmonious working environment

Self Assessment Question

How does your organisation ensure continual improvement in its policies and procedures for a good and harmonious working environment?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 11 on Page 82

Indicator 11 – Equal Working Environment

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

The organisation can demonstrate how the policies and procedures contribute to a culture of respect, diversity and inclusion.

ASSESSED BY

Monitoring statistics and other documentary evidence that demonstrate both diversity in the workforce and inclusion.

Self Assessment Question

What evidence does your organisation have that the policies and procedures for a harmonious working environment contribute to a culture of respect, diversity and inclusion?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 11 on Page 82

Indicator 11 – Equal Working Environment

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 12 – Recruitment and Selection

ESTABLISH/LEVEL 1

The organisation complies with recruitment and selection Codes of Practice, including the best practice outlined in the Code of Procedures on Recruitment and Selection.

ASSESSED BY

Documentary evidence and HR professionals can describe recruitment and selection complies with Equality Commission (ECNI) Codes of Practice.

Self Assessment Questions

How does your organisation ensure it complies with recruitment and selection Codes of Practice including training for interviewers (for example, Vacancies are advertised widely; Job descriptions and personnel specifications are drawn up for all vacancies; Interviewers receive appropriate training; Selection documentation is retained; All applicants are informed of the outcome of the selection process)?

Indicator 12 – Recruitment and Selection

STRENGTHEN/LEVEL 2

ASSESSED BY

The organisation assesses the impact of recruitment and selection procedures.

The organisation has an agreed affirmative/positive action programme which includes goals and timetables.

The recruitment process for all senior posts includes a professionally managed assessment centre.

Documentary evidence of the assessment of the impact of policies and procedures on recruitment and selection and compliance with ECNI statutory reviews.

Self Assessment Question

How does your organisation assess the impact of recruitment and selection procedures?

What affirmative/positive action plans in recruitment and selection have been formulated by the Council?

What use has the Council made of professionally managed Assessment Centres?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 12 on Page 87

Indicator 12 – Recruitment and Selection

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

There is a regular (at least once per year) review and continual improvement of recruitment and selection procedures.

Documentary evidence of review of procedures and changes to them.

The organisation has assessed its future recruitment and selection needs and has a plan in place to meet these.

Self Assessment Questions

What evidence does the organisation have that it reviews and continually improves its recruitment and selection procedures?

How has the organisation assessed its future recruitment and selection needs and what plans have been formulated to meet these?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 12 on Page 87

Indicator 12 – Recruitment and Selection

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

Senior management can demonstrate that the organisation has a diverse workforce through effective recruitment and selection procedures.

ASSESSED BY

Documentary evidence of diverse workforce from monitoring information or other sources.

Self Assessment Question

What evidence does your organisation have that its recruitment and selection procedures have contributed to a diverse workforce?

Indicator 12 – Recruitment and Selection

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 13 – Equality of Access to Human Resource Services

ESTABLISH/LEVEL 1

The organisation complies with legislation and associated Codes of Practice in relation to Equality of Access to HR Services.

ASSESSED BY

Documentary evidence of equality of access policies and procedures. HR professionals can describe how policies and procedures comply with statutory requirements.

Self Assessment Question

How does your organisation ensure that it complies with legislation and associated Codes of Practice in respect of equality of access to employment, information, locations, promotion, training, etc?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 13 on Page 92

Indicator 13 – Equality of Access to Human Resource Services

STRENGTHEN/LEVEL 2

Equality of Access policies and procedures are consistently applied, implemented and reviewed across the organisation's departments, services and locations.

ASSESSED BY

Documentary evidence of equality of access requirements within the policies and procedures of all departments and services. Documentary evidence of the implementation of equality of access policies and procedures across all departments, services and locations and of improvements made as a result

Self Assessment Question

What evidence is there that equality of access policies and procedures are applied and implemented consistently across your organisation's departments, services and locations?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 13 on Page 92

Indicator 13 – Equality of Access to Human Resource Services

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

There is a regular (at least once per year) review and continual improvement of equality of access procedures and actions.

Documentary evidence of at least annual review and improvements of access to locations and services. Managers can quote examples of improvements in access.

Self Assessment Questions

What evidence does your organisation have that it reviews and continually improves its equality of access procedures and actions?

How frequently are reviews of equality of access procedures undertaken?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 13 on Page 92

Indicator 13 – Equality of Access to Human Resource Services

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

Senior management can demonstrate equality of access through all human resource policies and procedures.

ASSESSED BY

At interview senior managers can describe improvements in equality of access to locations and services and the link between actions taken with regards to this and the achievement of corporate objectives

Self Assessment Question

What evidence does the organisation have of continuously improving equality of access as a result of its human resource policies and procedures?

Indicator 13 – Equality of Access to Human Resource Services

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Learning and Development Human Resource Standards

Indicator 14 – Developing Strategies and Plans for Learning and Development

ESTABLISH/LEVEL 1

ASSESSED BY

<p>There are policies and procedures to ensure the effective induction of staff and elected members into the organisation, into new roles and with respect to health and safety.</p> <p>There is a defined budget, or a number of departmental budgets, for learning and development.</p> <p>Planning for learning and development is on the agenda of senior management meetings.</p> <p>Learning and development plans are communicated to staff and elected members.</p>	<p>Documentary evidence of induction and health and safety training of new staff and elected members and of staff who take on new job roles. Interview confirmation of this training by staff that have joined the organisation or changed jobs in the last two years and from elected members who have joined the Council for the first time at the last Council Elections.</p> <p>Documentary evidence of the budget for learning and development at organisation and if appropriate departmental levels; documentary evidence that learning and development is a regular (at least three times per year) agenda item at senior management meetings.</p> <p>At interview staff and elected members are able to describe what training is planned for them and this is supported in the documentary evidence.</p>
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Self Assessment Questions

What policies and procedures has your organisation formulated to ensure the effective induction of staff and elected members into the organisation and into new roles?

What policies and procedures has your organisation formulated to ensure that all staff receive the information and training they need with respect to health and safety?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 14 on Page 101

What budget(s) exists for learning and development?

How frequently is learning and development an agenda item in senior management meetings?

How are learning and development plans communicated:

- To staff?
- To elected members?

Indicator 14 – Developing Strategies and Plans for Learning and Development

STRENGTHEN/LEVEL 2

The organisation benchmarks its approach to learning and development and/or uses external quality standards, e.g. Investors in People, to ensure the quality of the approach.

There are policies on using tools such as Personal Development Plans, competency frameworks and learning matrices and on Continuing Professional Development.

The learning and development budget has flexibility to respond to changing priorities.

Flexible learning methods are available to meet the needs of staff with different learning styles and work patterns.

ASSESSED BY

Documentary evidence of external benchmarking, for example, Investors in People Certificate or external benchmarking report.

Written policies on use of tools and continuing professional development and documentary evidence of implementation.

HR professionals can give examples of how the budget has been used flexibly to meet changing needs and of how flexible learning methods have been used to meet the staff needs.

Self Assessment Questions

What benchmarking activities (if any) does your organisation undertake in respect of its approach to learning and development?

What external quality standards (for example, Investors in People) for learning and development are used to ensure the quality of the approach to learning and development?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 14 on Page 101

What policies on the use of learning and development tools (for example, Personal Development Plans, competency frameworks, learning matrices) have been formulated by your organisation?

Has your organisation defined policies on Continuing Professional Development? Yes No

What flexibility does the learning and development budget have to respond to changing priorities?

What flexible learning methods have been used/are available to meet the needs of staff with different learning styles and work patterns?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 14 on Page 101

Indicator 14 – Developing Strategies and Plans for Learning and Development

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
<p>Learning and development are linked directly to strategic aims and objectives.</p> <p>Senior managers measure the effectiveness of learning and development strategies.</p> <p>There is a policy on lifelong learning.</p> <p>Planning and budgeting for learning and development include the future needs of staff and elected members.</p> <p>There is a people skills strategy.</p> <p>There is an organisational development strategy.</p> <p>Learning and development are integral to a Human Resources strategy for future staff resourcing.</p>	<p>Documentary evidence of the link between learning and development activities and strategic aims and objectives.</p> <p>Senior managers are able to describe the learning and development activities that underpin corporate objectives.</p> <p>Documentary evidence that the organisation has a policy on lifelong learning and a people skills strategy.</p> <p>Documentary evidence of planning and budgeting for future development needs of staff and elected members.</p> <p>HR professionals can describe how learning and development will contribute to future staff resourcing.</p>

Self Assessment Questions

How well are learning and development reflected in strategic aims and objectives?

How does your organisation ensure that it measures the effectiveness of its learning and development strategies and actions?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 14 on Page 101

Does your organisation have a policy on lifelong learning? Yes No

How well does planning and budgeting for learning and development take account of the future needs of staff and elected members?

Does your organisation have a people skills strategy? Yes No

Does your organisation have an organisational development strategy? Yes No

How well are learning and development integrated into the Human Resources strategy for future staff resourcing?

Indicator 14 – Developing Strategies and Plans for Learning and Development

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

Learning and development strategies are communicated throughout the organisation.

The organisation assesses the impact of learning and development initiatives on organisational results.

There is a clear people development plan to achieve organisational goals and strategies.

Learning and development plans are included in the corporate strategy and the necessary resources are allocated to achieve the plans.

ASSESSED BY

Documentary evidence of how the organisation assesses the impact of learning and development activities on organisational results.

Documentary evidence of how resources for learning and development are allocated. HR professionals can describe and staff, from all departments and services, confirm how learning and development opportunities are communicated. The corporate strategy document and senior managers confirm that learning and development are major elements.

Documentary evidence of a people development plan to achieve the organisation's goals and strategies.

Self Assessment Questions

How are learning and development strategies communicated?

What evidence is there of the effectiveness of the communication of learning and development strategies across the whole organisation?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 14 on Page 101

What evidence does the organisation have that its learning and development activities are having an impact on organisational results?

What evidence does your organisation have that it has a clear people development plan (or plans) to achieve organisational goals and strategies?

How well is learning and development reflected in the corporate strategy?

How are resources allocated to learning and development (for example in the corporate plan)?

Indicator 14 – Developing Strategies and Plans for Learning and Development

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 15 – Implementing Learning and Development

ESTABLISH/LEVEL 1

Learning and development needs are identified through a formal process.

Learning opportunities are provided to enable staff and elected members to perform effectively.

Responsibility is given to one or more staff for sourcing, monitoring and advising managers on learning and development.

ASSESSED BY

Staff and elected members confirm at interview that they are given learning opportunities to perform effectively.

The relevant individual(s) confirms his/her responsibility for sourcing, monitoring and advising managers on learning and development.

Self Assessment Questions

What formal processes does the organisation have to identify learning and development needs?

How well do the learning opportunities provided enable staff and elected members to perform effectively?

Who in your organisation has responsibility for sourcing, monitoring and advising managers on learning and development issues?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 15 on Page 107

Indicator 15 – Implementing Learning and Development

STRENGTHEN/LEVEL 2

Policies and practices are in place to meet identified needs of staff and elected members.

Managers accept their responsibilities for staff learning and development and have the appropriate knowledge and skills.

There is joint (manager/staff) responsibility for learning and development processes such as Personal Development Plans.

ASSESSED BY

Documentary evidence of policies and practices to identify the learning and development needs of all staff and elected members and their implementation. At interview managers acknowledge their responsibilities to develop staff and confirm that they have received training and/or support needed to meet these responsibilities. Documentary and interview evidence from both managers and staff of joint responsibility for learning and development.

Self Assessment Questions

What policies and practices are in place to meet identified learning and development needs of staff and elected members?

How well do managers accept their responsibilities for staff learning and development?

IMPROVEMENT REQUIRED Yes No
If Yes see Improvement Plan at end of Indicator 15 on Page 107

What steps has your organisation taken to ensure that managers have the knowledge and skills needed to support staff learning and development?

What evidence is there that there is joint (manager/staff) responsibility for learning and development processes (such as Personal Development Plans)?

Indicator 15 – Implementing Learning and Development

STRATEGIC INTEGRATION/LEVEL 3

ASSESSED BY

<p>The organisation provides developmental opportunities that include all staff and elected members.</p> <p>Learning and development activities are designed to contribute to continuous improvement and the achievement of corporate goals.</p> <p>Organisational development activities are designed to contribute to the achievement of corporate goals.</p>	<p>Staff and elected members confirm at interview that they have been given development opportunities.</p> <p>Senior managers can give examples of how learning and development and organisational development activities have contributed to continuous improvement and the achievement of corporate goals.</p>
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Self Assessment Questions

How well does your organisation provide developmental opportunities that include all staff and elected members?

How does your organisation ensure that learning and development activities contribute to continuous improvement?

How does your organisation ensure that organisational development activities contribute to the achievement of corporate goals?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 15 on Page 107

Indicator 15 – Implementing Learning and Development

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

Learning and development are integral to the performance of individuals, teams and the organisation.

The staff profile matches the organisation's staffing needs.

Staff and elected members are willing to participate in learning and development.

ASSESSED BY

Managers throughout the organisation can give examples of the contribution of learning and development to their staff's performance and to service improvements. Senior managers can give examples of learning and development action taken to match the staff profile to the changing needs of the organisation. Staff and elected members confirm their willingness to participate in learning and development activities.

Self Assessment Questions

What evidence do you have that learning and development are integral to the performance of individuals, teams and the organisation?

What evidence can you give of learning and development that has addressed an organisational skills gap?

What evidence can you give of improvements in the willingness of staff and elected members to participate in learning and development?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 15 on Page 107

Indicator 15 – Implementing Learning and Development

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External:

Indicator 16 – Evaluating the Impact of Learning and Development

ESTABLISH/LEVEL 1

Objectives for learning and development are specified in advance and subsequently reviewed with the individual.

ASSESSED BY

Documentary evidence of planning and review of learning and development objectives. At interview staff can describe the process of planning and review, confirm that it occurs consistently and can give examples of objectives set and reviewed following development

Self Assessment Questions

Are objectives for learning and development specified in advance and subsequently reviewed with the individual? Yes No

If yes, how does your organisation ensure that this happens?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 16 on Page 114

Indicator 16 – Evaluating the Impact of Learning and Development

STRENGTHEN/ LEVEL 2

ASSESSED BY

Objectives for learning and development are specified in advance and subsequently reviewed by the team and organisation.	Documentary evidence of team and organisational planning and review of learning and development objectives. Managers can give examples of objectives set and the impact of learning and development on their achievement. Senior managers can give examples of the impact of learning and development on organisational performance. Documentary evidence of a review of value for money of learning and development activities.
Outcomes of learning and development impact on organisational performance.	
Value for money is ensured through, for example, cost benefit analysis.	

Self Assessment Questions

Are objectives for learning and development specified in advance and subsequently reviewed by the team and organisation consistently? Yes No

If yes, how does your organisation ensure that this happens consistently?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 16 on Page 114

How does your organisation measure the impact of learning and development on organisational performance?

How does your organisation ensure that it gets 'value for money' in learning and development (for example, through carrying out cost benefit analysis/ value for money survey)?

Indicator 16 – Evaluating the Impact of Learning and Development

STRATEGIC INTEGRATION/ LEVEL 3

The outcomes of learning and development are reflected in how the organisation meets its strategic aims.

Self-reviews of performance are carried out at individual, team and organisational levels.

ASSESSED BY

Senior managers can describe in detail the link between learning and development outcomes and the organisation meeting its strategic aims. Documentary evidence and confirmation at interview of self reviews of performance at individual, team, service and organisational levels across the organisation.

Self Assessment Questions

How well are the outcomes of learning and development reflected in how the organisation meets its strategic aims?

What self-reviews of performance are carried out at individual, team and organisational levels?

IMPROVEMENT REQUIRED Yes No

If Yes see Improvement Plan at end of Indicator 16 on Page 114

Indicator 16 – Evaluating the Impact of Learning and Development

EVALUATING THE FOLLOWING OUTCOME MEASURES

ASSESSED BY

<p>The organisation achieves a return on investment from learning and development.</p> <p>The organisation measures changes in performance arising from learning and development activities.</p> <p>Learning and development activities enhance the levels of customer and stakeholder satisfaction.</p>	<p>Documentary evidence and/or description by senior managers of the return on investment from learning and development.</p> <p>Changes in the organisation that have arisen as a result of learning and development and of how customer/stakeholder satisfaction levels have been improved and measured.</p>
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Self Assessment Questions

What evidence does your organisation have that it achieves a return on investment from learning and development?

What evidence does your organisation have that there are changes in performance arising from learning and development activities?

What evidence does your organisation have that learning and development activities have led to increased customer/stakeholder satisfaction?

Indicator 16 – Evaluating the Impact of Learning and Development

IMPROVEMENT PLAN

Level(s) Achieved:
Operating at Level:

Objective:

Actions/Initiatives:

People Responsible:

Reporting Arrangements:

Internal:

External: