

PASAI Human Resources Guide

Supportive material

Chapter 1 Setting up an HR function



Pacific auditors working
together

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Good practice: Framework of human resources responsibilities

(INTOSAI CBC – Human Resource Management Practical Tools and Checklists)

The provision of human resources services is a key corporate function of a SAI and impacts on all staff. Each member of staff has a role to play in ensuring that these services are delivered effectively and meet the needs of both the individual and the business.

It is sound management for an SAI to allocate ownership and responsibility of the key human resources functions. The following table outlines the key areas of responsibility for individuals, line managers, Departmental Heads and the central human resources team. None of these areas of responsibility should be considered in isolation. Each is independent of the others, within the framework of the central human resources function.

Function	Individuals	Line managers	Departmental heads	Central human resources
Roles	<p>An SAI expects individual members of staff to:</p> <p>Seek to contribute fully to the work of the SAI.</p>	<p>An SAI expects managers to:</p> <p>Encourage and enable all their staff to deliver business objectives and to reach their full potential; and</p> <p>Keep staff well informed about developments that may affect them and about the work and organisation of the SAI and its clients.</p>	<p>An SAI expects departmental heads to:</p> <p>Ensure that the department obtains and makes the most effective use of staff resources to deliver business objectives.</p>	<p>An SAI expects central HR to:</p> <p>Provide support to the Departmental Heads, and deliver specialist HR services to line managers and staff;</p> <p>Develop, implement and review HR policies and strategies which meet the business needs of the SAI;</p> <p>Take responsibility for ensuring equality of opportunity in the development and operation of all human resources policies.</p>
	In the following fields individuals should:	In the following fields managers should:	In the following fields departmental heads should:	In the following fields central HR should:

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Recruitment	<p>Contribute to the creation of job descriptions;</p> <p>Get involved in the recruitment process.</p>	<p>Prepare first draft job descriptions;</p> <p>Participate in the recruitment of new staff members.</p>	<p>Develop the departments resourcing strategy which supports and informs the SAI HR strategy;</p> <p>Analyse staff numbers and skills required to meet the departments objectives and develop a strategy to meet those requirements;</p> <p>Ensure the agreed staffing levels are met.</p>	<p>Prepare an overall staffing plan for the SAI to meet business objectives;</p> <p>Monitor staffing position against projections;</p> <p>Determine the need for and run SAI wide recruitment and promotion exercises;</p> <p>Issue or contracts of employment;</p> <p>Organise induction for new staff, and deliver induction on central functions.</p>
Probation	<p>Attend the SAI at the required times;</p> <p>Follow the ethical standards, core values and Code of Conduct and other relevant rules and regulations pertaining to personal performance;</p> <p>Agree objectives to be achieved to meet the required competencies of the grade during the probation period;</p> <p>Agree and attend training and development events;</p> <p>Be active in correcting any deficiencies drawn to attention.</p>	<p>Explain to the individual the purpose and importance of probation, the required standards of performance, behaviour and attendance, details of the process of probation, and the key dates and timescales;</p> <p>Monitor, appraise and give regular feedback to an individual on performance;</p> <p>Supervise, train and provide general support during the probation period.</p>	<p>Oversee the line manager's management of the probation reporting arrangements.</p>	<p>Manage the probation process;</p> <p>Supply new staff member with all necessary documentation, copies of rules and regulations and passes;</p> <p>Introduce individuals to absence management and timekeeping policies;</p> <p>Ensure the individual understands the possibility of non-renewal of contract at the end of the first 12 or 24 weeks, and for obtaining the signature of the new staff member to the agreement to abide by the SAI Code of Conduct and Ethics.</p>

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Organisation of the team	<p>Contribute to the creation of job descriptions;</p> <p>Contribute ideas on the organisation of the team;</p> <p>Alert the team leader to issues on the operation of the team.</p>	<p>Establish, organise and structure the team so that it achieves its objectives within the resources available;</p> <p>Look flexibly at the design and definition of jobs in the team to suit the staff available. Make use of their skills and identify development opportunities;</p> <p>Plan ahead to ensure that future staffing needs are met.</p>	<p>Develop the departments HR strategy which supports and informs the Office HR strategy;</p> <p>Assess the departments recruitment needs by analysing the staffing numbers, levels and skills required to meet the departments business objectives and develop a strategy to meet those requirements;</p> <p>Ensure the staffing levels are met.</p>	<p>Prepare an overall manpower plan for the Office to meet business objectives;</p> <p>Regularly monitor staffing position against budget projections.</p>
Selection of team members	<p>Apply for vacancies for which you are suitable, subject to the needs of your current post.</p>	<p>Select new members of the team.</p>	<p>Provide access to skills across the Office and provide help team leaders to ensure the agreed staffing levels are met;</p> <p>Assist central HR in running recruitment and promotion campaigns.</p>	<p>Determine the need for and run recruitment campaigns and promotion exercises;</p> <p>Issue employment contracts.</p>
Induction of team members	<p>Support the induction of other members of the team.</p>	<p>Arrange and agree a programme of induction for new members of the team.</p>	<p>Provide support and advice to new line managers to ensure they meet their accountabilities for HR issues;</p> <p>Ensure effective and consistent arrangements for department induction are in place.</p>	<p>Ensure new staff members receive induction by the department they have been allocated to.</p>
Team direction and motivation	<p>Seek to put into effect the SAI's core values;</p> <p>Observe high standards of conduct and integrity in dealing with colleagues and clients.</p>	<p>Provide leadership for the team and motivate individual team members.</p>		

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Training and development	<p>Review performance to identify development needs and seek training opportunities to improve performance and potential;</p> <p>Seek to develop skills on the job, in line with agreed development plans;</p> <p>Keep skills up-to-date through research and reading using library, intranet and internet sources;</p> <p>Maintain continuous professional development records;</p> <p>Evaluate effectiveness of training activities;</p> <p>Prepare personal development plan;</p> <p>Comply with equal opportunities policies and attend relevant training.</p>	<p>Develop the team by providing coaching, support and regular feedback to enable staff to develop their knowledge and skills;</p> <p>Encourage staff who are performing effectively and take firm but fair action when they are not;</p> <p>Ensure that there are effective mechanisms for consultation and feedback;</p> <p>Evaluate effectiveness of training events;</p> <p>Discuss training and development needs with staff and ensure they have good quality PDPs;</p> <p>Ensure staff are aware of equal opportunities policies and comply with them;</p> <p>Ensure that staff are not subject to acts of discrimination.</p>	<p>Identify and put in place arrangements to meet the training and development needs of staff in the department to enable them to improve their skills and performance;</p> <p>Recommend staff for appropriate training;</p> <p>Design and deliver team based HR initiatives or training programmes;</p> <p>Prepare and monitor department training budgets;</p> <p>Produce department training plan and report;</p> <p>Support initiatives promoting diversity and equality of opportunity.</p>	<p>Develop an Office-wide training and development strategy and plan;</p> <p>Review annual appraisals and ensure the identified training needs are included in department training plans;</p> <p>Develop, review and update the SAI's competency framework;</p> <p>Run professional training programme and provide support for all professional training;</p> <p>Administer training applications;</p> <p>Collect data on training activities and produce annual training and development report;</p> <p>Manage training evaluation;</p> <p>Provide training support;</p> <p>Ensure that equality of opportunity underpins the development of all HR initiatives;</p> <p>Monitor and report on the effectiveness of equal opportunities and diversity.</p>

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Performance appraisal, including objective setting	<p>Participate in the exercise to prepare, discuss and agree objectives and forward job plans with line manager;</p> <p>Strive to achieve objectives and improve performance;</p> <p>Prepare for the appraisal discussion by making regular self-assessments prior to formal interviews and jotting down points for discussion;</p> <p>Participate fully and constructively in the performance review and appraisal process;</p> <p>Complete assessment to timetable.</p>	<p>Discuss and agree with each member of staff SMART objectives and forward job plans;</p> <p>Review objectives against area and Corporate objectives and offer guidance on performance standards to staff;</p> <p>Monitor progress on achievement of objectives and provide immediate formal and informal feedback to staff;</p> <p>Carry out regular formal interviews with staff and ensure all staff are appraised each year;</p> <p>Carry out appraisal interviews and complete fair and honest appraisal reports within the agreed timetable and according to set standards.</p>	<p>Ensure that objectives are being set and monitor their quality;</p> <p>Ensure that appraisals are completed in a timely fair manner and monitor departmental results;</p> <p>Ensure appraisal ratings are fair, consistent and objective across the department;</p> <p>Carry out reviewing officer interviews with staff.</p>	<p>Manage the probation process;</p> <p>Provide guidance on setting and agreeing objectives;</p> <p>Develop policy on pay, and pay related and grading issues;</p> <p>Design the staff appraisal system and provide guidance for staff and managers to implement it;</p> <p>Ensure all documentation is available at the appropriate time;</p> <p>Issue timetable for the appraisal process and ensure all appraisals have been completed by the deadline;</p> <p>Monitor fairness and consistency of performance appraisal Office-wide including arranging appeals.</p>
Conduct and discipline	<p>Observe high standards of conduct and integrity;</p> <p>Comply with SAI policies;</p> <p>Complete and return annual code of conduct;</p> <p>Ensure confidentiality of information in your possession.</p>	<p>Monitor, control and take remedial action to deal with conduct and inefficiency cases;</p> <p>Manage the grievance process in liaison with central HR;</p> <p>Take informal disciplinary action.</p>	<p>Liaise with central HR on formal disciplinary cases.</p>	<p>Advise on conduct and disciplinary cases;</p> <p>Manage formal disciplinary procedures;</p> <p>Manage security clearance process.</p>

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Secondment, career development and promotion	Manage and develop career by looking for and taking opportunities to broaden skills and experiences of different types of work in the SAI.	As part of the staff appraisal process: Conduct career development interviews and discuss opportunities for secondments, job moves etc; Discuss training and developments needs with staff and ensure they have PDPs; Evaluate honestly competencies of candidates seeking promotion.	Support staff and team leaders by facilitating job moves and advising on career development opportunities; Manage secondments; Monitor and review quality of PDPs.	Operate secondment programme; Identify and advertise secondment opportunities; Manage promotion procedure; Coordinate staff moves; Conduct exit interviews; Monitor and report on retention and wastage; Organise career events.
Consultation	Give feedback to line manager and make views known to the development and implementation of corporate initiatives.	Ensure that there are effective mechanisms for consultation and feedback so that staff are involved in issues which affect them.	Provide feedback to and seek views of individuals and teams on office-wide initiatives.	Conduct formal and informal negotiations with staff association; Consult with staff on development; projects through focus groups, etc.
Information	Keep self-informed of developments affecting the work of the SAI or of the team; Keep others informed of developments that may affect them.	Explain and support corporate policies and represent staff views to senior management; Keep staff well informed about developments that may affect them and about the work and organisation of the SAI and its clients.	Explain and support office HR policies and contribute to their development.	Inform staff of HR policies through the HR Manual, circulars and other publications; Monitor implementation of HR policies and systems and report to senior management.

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Employee attendance and support	<p>Ensure regular attendance and follow rules for notification of sickness and absence;</p> <p>Seek advice and support before personal issues become critical;</p> <p>Complete timesheets and sickness absence certificates promptly;</p> <p>Take full annual leave in accordance with HR manual and give line managers sufficient notice;</p> <p>Comply with HR policies, equal opportunities guidance and code of conduct.</p>	<p>Monitor, control and take remedial action to address staff absences, disciplinary and inefficiency cases, in consultation with HR;</p> <p>Consider and take action on special leave applications;</p> <p>Hold return to work interviews with staff;</p> <p>Ensure all staff receives fair and equal treatment.</p>	<p>Encourage consistent and effective HR practices within the Dept.</p>	<p>Provide advice on HR policies and procedures;</p> <p>Monitor and provide sickness absence and turnover statistics to department heads and senior management;</p> <p>Liaise with line managers to reintegrate long-term absentees;</p> <p>Provide welfare support services;</p> <p>Manage career breaks and maternity leave;</p> <p>Monitor and report equal opportunities data and take action as necessary.</p>
Support to line managers and staff			<p>Support line managers in the development of their staff;</p> <p>Provide advice, facilitation or individual coaching to managers on HR issues;</p> <p>Keep in touch with line managers to identify HR issues or problems which may impact the office or individuals;</p> <p>Help line managers to resolve problems.</p>	<p>Develop, maintain and review HR policies and strategies to meet the needs of the SAI and the individual needs of staff;</p> <p>Communicate responsibilities and provide training, guidance support and advice to enable individuals, line managers and heads of department to carry out their HR responsibilities;</p> <p>Deliver specialist HR services.</p>

Function	Individuals	Line managers	Departmental heads	Central human resources
Pay and benefits	<p>Check pay slips and report errors;</p> <p>Inform payroll of any tax changes;</p> <p>Apply for benefits in good time;</p> <p>Ensure personal details are checked on request.</p>	<p>Approve annual leave and carry forward.</p>	<p>Monitor the Departments' budgets.</p>	<p>Negotiate and implement the annual pay award;</p> <p>Control pay budget through regular monitoring;</p> <p>Deliver staff benefits;</p> <p>Develop and interpret policy on pay, pay related and grading issues;</p> <p>Maintain and develop IT systems;</p> <p>Manage pension arrangements including early retirement programmes.</p>