

Finance and Resources Committee

10.00am, Thursday, 28 November 2013

Corporate Governance: High Performing Workforce – Induction and Training

Item number 7.2
Report number
Wards

Links

Coalition pledges
Council outcomes [CO25, CO27](#)
Single Outcome Agreement

Alastair D Maclean

Director of Corporate Governance

Contact: Philip Barr, Head of Organisational Development

E-mail: Philip.Barr@edinburgh.gov.uk

Executive summary

Corporate Governance: High Performing Workforce – Induction and Training

Summary

The Director of Corporate Governance identified a critical requirement to review the Council's suite of regulatory policies and strengthen compliance in line with the review of operational governance.

An assessment of policy requirements was undertaken and following this all key policies have been reviewed and re-drafted over the last twelve months.

To ensure all staff are aware of the policies, their responsibilities and strengthen overall compliance throughout the Council it is critical that induction and training is in place and effectively monitored.

Recognising the wider importance of induction and training, the Director of Corporate Governance asked the Chief Internal Auditor to include a review of this area in the risk based audit activity of 2013/14 and a draft audit report was received on 20 September 2013.

Improvements to the induction and training processes are being undertaken as part of the High Performing Workforce objective within the refreshed Corporate Governance directorate plan.

This report outlines implementation actions in place to date and future proposed developments.

Recommendations

It is recommended that Committee:

- 3.1 notes progress and implementation to date; and
- 3.2 agrees to consider a further update report in six months on the high performing workforce objective set out in the Corporate Governance directorate plan.

Measures of success

- 1 Updated regulatory policies and procedures in force and implemented by March 2014;

- 2 All mandatory training for employees is completed within a defined induction period and monitored;
- 3 Clear management responsibility for induction training is in place across all service areas;
- 4 Greater corporate oversight and monitoring utilising one corporate system (Trent) at local level is in place and has been tested;
- 5 Refresher training is prioritised and available; and
- 6 Exposure to health and safety, financial and reputational risk is reduced.

Financial impact

There are no financial implications arising from this report

Equalities impact

Activities in this area comply with the public sector general equality duty.

The equalities relevance score with regards to the report is 3. Therefore, no full assessment is required.

Sustainability impact

There are no sustainability impacts arising from this report.

Consultation and engagement

A cross-council working group, led by Corporate Governance and comprising lead officers from each service area responsible for recruitment, training and induction activity, has been formed to support implementation and embed key messages across the Council.

Background reading / external references

None.

Corporate Governance: High Performing Workforce – Induction and Training

1. Background

- 1.1 The Director of Corporate Governance identified a critical requirement to review the Council's suite of regulatory policies and strengthen compliance in line with the review of operational governance.
- 1.2 An assessment of policy requirements was undertaken and following this all key policies have been reviewed and re-drafted over the last twelve months.
- 1.3 To ensure all staff are aware of the policies, their responsibilities and strengthen overall compliance throughout the Council it is critical that induction and training across this area is in place and effectively monitored.
- 1.4 Recognising the wider importance of induction and training, the Director of Corporate Governance asked the Chief Internal Auditor to include a review of this area in the risk based audit activity of 2013/14 and a draft audit report was received on 20 September 2013.
- 1.5 Improvements to the induction and training processes are being undertaken as part of the High Performing Workforce objective within the refreshed Corporate Governance directorate plan, as set out in appendix one. The vision of the programme is to ensure a motivated workforce of high performing, highly skilled and flexible people who deliver in accordance with its core values and utilise modern technology to deliver Council services.
- 1.6 A key project in delivery of a high performing workforce is to increase awareness and embed HR policies with a focus to strengthen compliance and promote a shift in culture. A key element to achieve this will be the continued review and implementation of effective induction and training programmes.
- 1.7 The purpose of this report is to provide an overview of progress and implementation to date highlighting future developments.

2. Main report

2.1 Regulatory suite of HR policies

2.1.1 Significant work has been undertaken over the last 12 months resulting in a complete review of the Council's regulatory suite of HR policies and the position is now as follows:

Item	Policy/procedure	Date implemented/updated
1	Anti-bribery	September 2012 / October 2013
2	Fraud prevention	October 2013
3	Employee code of conduct, including: <ul style="list-style-type: none">• gifts and hospitality; and• conflicts of interest.	August 2012 / October 2013
4	Disciplinary code	December 2013
5	ICT acceptable use (this will replace the Code on electronic communications agreed in January 2012).	December 2013
6	Whistleblowing (this will replace the public interest disclosure policy agreed in May 2000).	March 2014
7	Health and safety	August 2013

2.1.2 A detailed implementation plan is set out in appendix two. The aim is to have refreshed and revised all the regulatory suite of policies with each in place and fit for purpose by March 2014.

2.2 Internal Audit findings

2.2.1 Recognising the importance of induction and training, the Chief Internal Auditor was asked to include in the audit activity for 2013/2014 a review of this area and a draft of the internal audit report was recently received on 20 September 2013. The final report is awaited.

2.2.2 Along with a number of areas of good practice some key areas for improvement were identified. It is clear that further development and implementation work requires to be undertaken in this area and this has been included in the

objectives of the Corporate Governance directorate plan. The key areas for improvement in relation to induction and training are:

- 2.2.2.1 accurate measurement, recording and reporting on defined induction training within the Council; and
- 2.2.2.2 embed key policies and procedures including anti-bribery, fraud prevention and the employee code of conduct into the mandatory training agenda.

2.3 HR policies and compliance

2.3.1 A programme of work has been scoped and carefully planned to achieve enhanced levels of compliance and support a shift in culture.

2.3.2 The key to successful delivery is to continue to ensure that:

- 2.3.2.1 the regulatory suite of HR policies is in place and fit for purpose;
- 2.3.2.2 mandatory induction training exists for new recruits (or staff moving internally to new roles) in relation to both the regulatory suites of policies and procedures but also role-specific matters; and
- 2.3.2.3 all relevant information is available to all staff and refresher training is provided.

2.4 Mandatory training

2.4.1 It is critical to ensure staff awareness and engagement with the policies is in place via dedicated training and appropriate communications.

2.4.2 To enable this there is a requirement to significantly develop and improve the Council's employee induction and training procedures.

2.3.1 Work has been ongoing during 2013 to introduce a consistent approach to delivering and verifying induction training for all staff appointed to a new job within the Council.

2.4.3 Induction training is the main vehicle for setting standards and expectation levels for all staff joining the Council and for existing staff who move jobs within the Council. In particular it should ensure that external staff new to the Council (including agency workers, contractors and secondees) and internal staff moving job roles are fully trained in all aspects of their new job including health & safety, policies & procedures and any job specific training.

2.4.4 Feedback from employees as part of the 2013 Investors in People review confirmed that induction training across each of the service areas currently takes place. However, sample testing of the induction training recorded on Trent (the Council's electronic HR system) and CECiL (the Council's e-learning platform) for 53 new starts who joined the Council in March 2013 shows that in a number of cases induction training either did not take place or was not recorded or had taken place by e-learning but was not recorded on Trent. There were pockets of

good practice where training had taken place and was recorded but this was not consistent. This has also been noted in the draft internal audit report.

2.4.5 Recognising the need to focus on compliance and strengthen the induction process, the following steps are being taken:

- 2.4.5.1 service areas now require to ensure that all induction training is recorded on Trent to ensure consistency;
- 2.4.5.2 given that the primary responsibility for induction lies with line managers, a communication campaign to ensure managers are aware of their responsibilities is being carried out during November 2013;
- 2.4.5.3 a key aspect of this communications effort will be to make it clear that new start employees should not be asked to carry out duties unless they have received the appropriate induction training for the role;
- 2.4.5.4 to support managers and to ensure there is consistency in the delivery of induction throughout the Council, comprehensive induction checklists, which are currently in use in some service areas, are being implemented in all service areas. The manager and employee will sign the checklist on completion of each module to record that the council wide induction and job specific training has been carried out;
- 2.4.5.5 to ensure induction is correctly recorded, a module labelled 'Induction Checklist' has been created on Trent. There is no cost associated with creating this module;
- 2.4.5.6 a cross-service working group led by Corporate Governance (organisational development) has been created to ensure all 'mandatory' role specific training (e.g. Health & Social Care Essential Learning for Care programme) is included in the induction checklist and can be recorded on Trent;
- 2.4.5.7 the minimum corporate mandatory training will consist of 'First Impressions' (an e-learning module) and training in relation to the regulatory suite of policies and procedures. Job specific training such as manual handling will be determined by service areas and will be recorded centrally for audit purposes;
- 2.4.5.8 managers will receive a weekly list of new starts one week prior to the employee starting. This will allow time for the manager to prepare the checklist specifically to the role of the employee and arrange mandatory training as appropriate;
- 2.4.5.9 new staff will not be asked to carry out duties unless the mandatory training elements for their role have been completed and recorded;
- 2.4.5.10 in addition to the above role specific training, training on the Council's regulatory suite of policies and procedures designed to enhance

compliance and reduce the Council's exposure to risk is required. This includes training on the health and safety, anti-bribery, whistle blowing and fraud prevention policies and procedures; disciplinary code, the employee code of conduct and acceptable use of ICT. This new mandatory policy and procedural training will be incorporated into induction requirements for new and newly promoted, as well as existing staff.

2.4.5.11 a monthly report on induction activity for new/newly promoted staff will be introduced for each service area by the HR Service Centre. This report will track all induction activities completed for each new start and identify non compliance. This information will be shared and discussed with managers through the OD Senior Team aligned to service areas; and

2.4.5.12 areas which are non-compliant will be reported to each service Director on a monthly basis.

2.4.6 A detailed flowchart is set out in appendix 3.

2.5 Accessibility of information and refresher training

2.5.1 All relevant employment policies, procedures and codes of conduct are located on the Council's intranet. There are also a series of downloadable booklets for those that do not have access to the intranet.

2.5.2 An Employee Handbook is being developed, in all formats, for roll out to staff early in 2014. Managers are and will continue to be fully aware of their responsibilities to make their staff fully aware of the policies and their obligations whether they have access to the intranet or not.

2.5.3 In relation to refresher training, internal audit noted as an area of good practice that there is in existence annual refresher training. In addition, a checklist is being developed for use in accordance with the agreed PRD processes to ensure that any mandatory annual refresher training is being undertaken.

2.5.4 Refresher training access routes are clearly defined and can be accessed at any time, not just the mandatory intervals. E-learning modules, downloadable booklets and, where appropriate, bespoke guidance notes and toolkits are all in place.

3. Recommendations

3.1 It is recommended that Committee:

3.1.1 notes progress and implementation to date; and

3.1.2 agrees to consider a further update report in six months on the high performing workforce objective set out in the Corporate Governance directorate plan.

Alastair D Maclean

Director of Corporate Governance

Links

Coalition pledges

Council outcomes CO25 – The Council has efficient and effective services that deliver on objectives.
CO27 – The Council supports, invests and develops our people.

Single Outcome Agreement

Appendices

Appendix one: Corporate Governance directorate plan – overview of objectives

Appendix two: HR Policy & Procedure – detailed implementation plan

Appendix three: new start induction process flowchart

Appendix 1:

Corporate Governance Priorities for 2012-17

The Council is an efficient and effective organisation and a great place to work

By 2017 we will have...

Enhanced *customer experience* by ensuring our services are of *high quality* and *easy to access*

Improved *risk management* across the Council

Visibly enhanced our city's *cultural and sporting future*

Developed our *reputation* and ensured customers have a *positive perception* of the Council

Influence and support all areas of the organisation to identify and manage the reputational impact of their decisions.

Reputation

Risk Management

Promote risk management, ensuring Council services are provided within legal and regulatory requirements, and support efficient, visible and democratic decision making.

Deliver financial certainty by securing a balanced budget. Transform procurement practices and service provision to deliver commercial benefits.

Total Budget

Customer Experience

Focus on understanding our customers needs in order to deliver outcomes that matter to them. Encourage channel shift and improve access to services designed around those needs.

Ensure the Council has a motivated workforce of high performing, highly skilled, flexible people delivering our core values, utilising modern technology.

High performing workforce

ICT Transformation

Transform the Council's ICT and Digital platform, to better support the many stakeholders who depend on our ICT in their daily lives. Ensure ICT services are business and customer driven.

Respond effectively to the challenges presented by Welfare Reform in Edinburgh .

Welfare Reform

Visibly enhanced culture and sport

Ensure Edinburgh continues to be a leading cultural city - which attracts, develops and retains talent, where culture, sport and celebratory events thrive and make our city a great place to live and visit.

Policy/ Procedure/ Guidance	Preparatory Work						Approval	Implementation/ Training						Implementation date	Local collective agreement	Review timescales		
	Agree Implementation Plan	Develop Communications Strategy	Transition arrangements to new procedure	Develop briefing materials and brief stakeholders	Develop e-learning and other learning materials	Develop template letters		Issue Comms/ Launch Orb	Conduct briefings	Launch e-learning	Conduct training	Launch manager toolkit on Orb	Finalise template letters for use				Other	
Employee Code of Conduct							Aug 12 Council	Policy published on Orb- Aug 12 Comms plan- Oct 13	Dec13	Nov 13	Include in Induction Training Nov 13	Aug 12	-	April 12 Registers of interests and forms to record conflicts of interest and gifts and hospitality published to orb. Dec 13 Recording and monitoring of disciplinary, sign-up and conflict of interest returns	Aug 12	Yes	Oct 14	
Anti-Bribery Policy and Procedure						Nov 13	Jul-Aug 12	Aug 12 Council	Dec 12 Jan 13	Service reps- Nov 12 Key corporate stakeholders – Dec 12 CMTs Oct – Nov 2013	Nov 13	Include in induction training – Nov 13	Risk assessment toolkit – Nov 13	-	Revised plan developed – Aug 13 Plan relaunch Sep/Oct 13	Aug 12	Yes	Oct 14

Jul-Aug 2012

Jul-Aug 2012

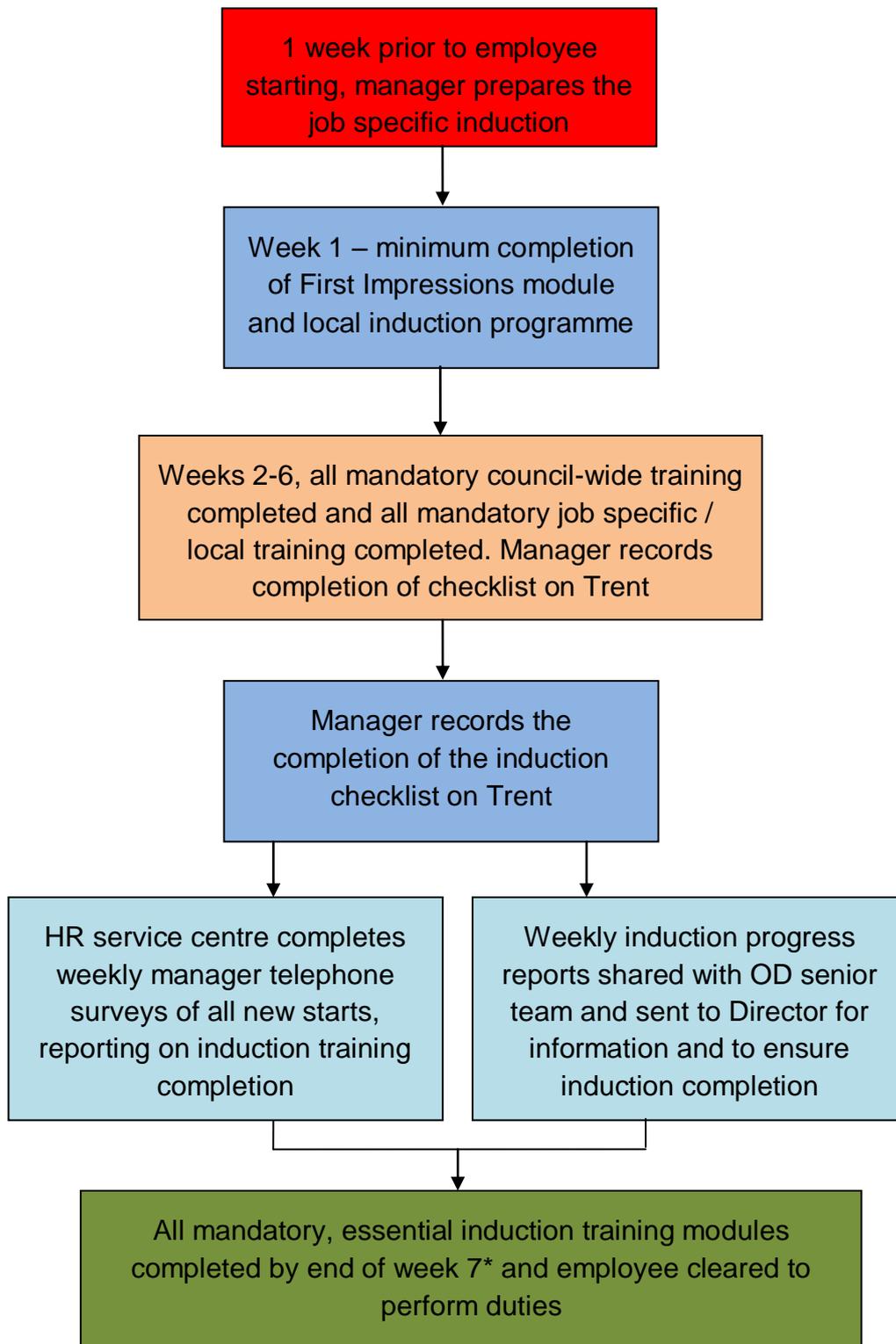
Policy/ Procedure/ Guidance	Preparatory Work							Approval	Implementation/ Training							Implementation date	Local collective agreement	Review timescales
	Agree Implementation Plan	Develop Communications Strategy	Transition arrangements to new procedure	Develop briefing materials and brief stakeholders	Develop e-learning and other learning materials	Develop template letters	Issue Comms/ Launch Orb		Conduct briefings	Launch e-learning	Conduct training	Launch manager toolkit on Orb	Finalise template letters for use	Other				
Policy on Fraud Prevention	Nov 13- Feb 14	Nov – Dec 2013			Nov 13- Jan 14	N/A	Finance & Budget 31 Oct 13	Nov 13 – Dec 13	Nov 13- Jan 14	Jan 14	Jan 14 – Mar 14	Jan 14	-	Fraud Risk Assessment Toolkit Feb 14 – Mar 14	Oct 13	Yes	Nov 14	
Policy on Public Interest Disclosure		City News	May 2000			CEC Personnel Committee May 2000	Refreshed Orb Content May 2012	N/A	N/A	Existing induction training (to be reviewed Nov 13)	Existing	N/A	Existing CEC policy to be replaced by new policy Mar 2014	May 2000	Yes	Mar 14		
Whistleblowing Policy	Oct 13	Nov 13	Jan-Mar 14	Nov 13	Jan 14	N/A	September 13 Council	Jan 14	Feb 14	Feb 14	Feb 14	Jan 14	N/A	Hot line provider to be procured,	March 14	Yes	Mar 15	
Revised Disciplinary Code	Nov 13 - Jan 14	Nov – Dec 2013				N/A	CP&S on Dec 2013	Dec 13	Dec 13 – Jan 14	Jan 14	Review induction training Dec 13	Jan 14	N/A	N/A	Dec 13	No	Dec 14	
Code on Electronic Communications		Nov 2001 – Jan 2002				Council Jan 2002	April 2001	N/A	N/A	Existing induction training	Existing	N/A	Existing CEC policy to be replaced by new policy Dec 2013	Jan 2002	Yes	Dec 13		

Policy/ Procedure/ Guidance	Preparatory Work						Approval	Implementation/ Training							Implementation date	Local collective agreement	Review timescales
	Agree Implementation Plan	Develop Communications Strategy	Transition arrangements to new procedure	Develop briefing materials and brief stakeholders	Develop e-learning and other learning materials	Develop template letters		Issue Comms/ Launch Orb	Conduct briefings	Launch e-learning	Conduct training	Launch manager toolkit on Orb	Finalise template letters for use	Other			
ICT Acceptable Use Policy	Completed	Completed	Completed	Completed	May 13	N/A	Council Dec 2013	Jan 14	Jan/Feb 14	Jan 14	Review Induction Training Dec 2013	Jan/Feb 14	N/A	N/A	Dec 13	Yes	Dec 14

Nov 2013

 Completed

Appendix 3: Process flowchart – new start induction progress reporting



*** 7 weeks is the maximum period for induction and checklist completion. Ordinarily, induction will be completed and employees work will be ready in a shorter time frame. Time frames are dependent on role, experience and essential training elements**