Risk/ Issue No.	Risk/Issue	Outstanding Action	Progress
1	Data held on the Trent system is not always accurate, as it is not always updated promptly, e.g. vacant posts are not always closed off. Despite previous work undertaken, e.g. data quality monitoring, there is a risk of poor data quality, objectives not being met, inaccurate reporting, and ineffective decision-making.	HR needs to check that all employees have received the form detailing their employee information, and that they have returned the form to HR to update the system. **Revised Completion Date: March 2013**	We have checked the records of forms sent out and all employees were included. However we are aware that some employees did not receive the forms. There was the option of reissuing forms, however on reflection we have determined that this is not necessarily the most effective way of doing this. We have therefore decided to take a different approach and supplementary actions have been identified to improve the quality and accuracy of Trent data.
		The HR Business Partner is also working on a project that involves identifying anomalies with the organisation structure on the Trent system. **Revised Completion Date: October 2013**	Ongoing – on track for completion October 2013
		Implement the outcomes of the process review. **Revised Completion Date: October 2013**	Ongoing – on track for completion October 2013
2	There is no robust mechanism in place to determine accurately the future number of employees required within the Council to help identify shortages and competency gaps. This is due to	In light of increasing budgetary pressures, it would be beneficial for managers to forecast further in advance the future employees required.	Completed - Built into Workforce Planning exercise undertaken annually with services

	a lack of system integration that links a post to the budget, which results in HR having to interpret the effects of budget savings on posts.		
3	Although the new structure sees HR in a supportive role, as opposed to a 'policing' role, there is a lack of quality assurance checking to ensure that employees and managers are complying with HR policies and procedures. This increases the risk of the Council not complying with relevant legislation and it increases further if HR employees and service managers receive inadequate training and are unclear of their responsibilities.	Implement the outcomes of the process review. **Revised Completion Date: October 2013**	Ongoing – on track for completion October 2013
		Implement a quality assurance framework. **Revised Completion Date: June 2013**	Completed
4	There is an increased risk of inaccurate payments to employees, as HR does not always submit documentation to Payroll promptly or accurately, as we identified in our previous annual reviews of the Payroll system. This creates additional pressure on the Payroll team in scrutinising and amending forms	The Standard Operating procedures should be made available on the intranet for future reference.	Completed
		Meetings between Payroll & HR Team Managers to be held on a regular basis. **Revised Completion Date: January 2013**	Meetings have been arranged but Payroll have been unable to attend due to work pressures arising out of key projects undertaken within the service. Agreed with Payroll that these will recommence in

	to prevent inaccurate payments while still meeting strict deadlines.		July.
		Monitoring system to be put in place to improve performance. **Revised Completion Date: October 2013**	Ongoing – on track from completion October 2013
		Implement the outcomes of the process review. **Revised Completion Date: October 2013**	Ongoing – on track from completion October 2013
5	Overall, from consultation throughout our review, we received negative feedback on the new HR service, particularly with HR Direct. For example: comments on poor communication; a lack of continuity and inconsistent responses; and important HR documentation, such as job application forms, going missing Additionally, HR Direct does not have a robust mechanism for ensuring that it logs all queries, refers them to the most appropriate person for answering, and ensuring that HR deals with issues promptly. There is also no prompt for HR Assistants to pursue outstanding essential documentation, such as appointment references. Without addressing these	Introduction of Civica Help Desk (CRM) **Revised Completion Date: February 2013**	Completed
		Introduction of Customer Service Standards. **Revised Completion Date: February 2013**	Completed
		Introduction of HR Competencies for all levels **Revised Completion Date: April 2013**	Completed
		Complete project management scoping exercise and revise HR content on intranet. **Revised Completion Date: September 2013**	Project Management Scoping Exercise – Completed Review of HR Content on Intranet is ongoing and part of wider HR Improvement Plan.
		Checklists and scripts need to be developed further. Letters issued by HR will also be reviewed, with the aim to reduce the number of mistakes made by HRAs. **Revised Completion Date: September 2013**	Ongoing. This has a revised completion date of December 2013 due to incorporating into wider improvements required.

	fundamental issues, several risks are emerging of services becoming less efficient; ineffective; inconsistent treatment of employees; poor decision-making, and non-compliance with legislation, which could lead to financial penalties, tribunal costs, and reputation damage		
6	The Council's recruitment and selection procedure is out-of-date and some employees have not received the necessary recruitment training prior to being a member of a recruitment panel. Insufficient guidance, monitoring and a lack of clarity of responsibilities could lead to non-compliance with legislation, and may lead to financial costs from re-appointment or tribunals if applicants consider that they are being unfairly treated	Further power hours training will be provided once the revised recruitment policy has been implemented. HR Business Partners could make the heads of services aware of the need for recruitment training during their monthly meetings. **Revised Completion Date: April 2013**	Recruitment Framework has been adopted by the Council. Currently in discussion with Heads of Service on how they want the framework launched within their service so that it meets their specific needs. Launch anticipated to take 6 months.
		Implement the outcomes of the process review. **Revised Completion Date: October 2013**	Ongoing – on track from completion October 2013
7	There is a lack of evidence to support the justification and authorisation for filling a post. We identified instances where there was a lack of documentation held on new starters' HR files, including vacancy control forms and interview notes. This may be	Managers to send through interview notes as requested. **Revised Completion Date: September 2013**	Notes are requested from managers but not always received. Managers will be reminded of this as part of the launch of the recruitment framework.
		Implement the outcomes of the process review. **Revised Completion Date: October 2013**	Ongoing – on track from completion October 2013

	linked to our concerns over managers' training and awareness of their responsibilities mentioned above and increases the risk of the Council being unable to challenge any accusation of unfair treatment in the recruitment process, incurring tribunal costs		
8	There is insufficient vetting of new starters to verify the authenticity of qualifications specific to the post applied for and references are not always received prior to the employee starting work with the Council. This increases the risk of inappropriate appointments and the resulting reputational damage and financial impact of terminating the contract or the cost of re-appointment.	The new recruitment framework should provide clear guidance to managers on their responsibilities for obtaining qualifications, references, and proof of identity. **Revised Completion Date: April 2013**	Completed
		Review of references procedure and input of workflows in Civica. Team managers will carry out quality assurance checking to ensure that the procedure is followed. **Revised Completion Date: April 2013**	QA process undertaken and will be ongoing. Workflows currently being developed and will be completed by September 2013
		Posts should be assessed to identify those needing further checks to verify the authenticity of the qualifications with an external body, i.e. the education establishment or professional organisation. **Revised Completion Date: April 2013**	Further checks are undertaken on a post by post basis as they go through the recruitment process. Completed.
		Implement the outcomes of the process review. **Revised Completion Date: October 2013**	Ongoing – on track for completion October 2013
9	There is inadequate decision-making, business continuity and succession planning arrangements within the Council.	From discussion with the Human Resources Business Partner, there are still cases where ex-employees are re-employed in the same post. HR is not always made aware of the re-employment until after the employee	Report run on a quarterly basis to identify employees who have left within 12 months and returned to similar posts.

	In some cases, this has resulted in the employment of ex-employees temporarily to provide cover. There is a risk that such arrangements are not cost effective, are insufficiently authorised and used inconsistently. This could result in reputational damage for the Council, particularly if the arrangement is not open and transparent.	has been re-appointed. HR plan to utilise the Trent system to run reports on employees who have been re-employed. **Completion Date: April 2013**	
		Services need to identify key roles and posts and ensure that adequate succession planning is in place. HR Business Partners should make sure succession planning is in place within services as part of their on-going role and as part of workforce planning. Revised Completion Date: October 2013	Completed - Built into Workforce Planning exercise undertaken annually with services
10	Business Partners provide support to line managers for grievances and disciplinary cases but, while they maintain their own records, there is no computerised central record to show progress with each case. This would assist with business continuity in the event of another Business Partner becoming involved. There is also no robust mechanism for ensuring that all grievances and disciplinary cases are recorded and dealt with promptly by the most appropriate person. This could lead to grievance cases not being handled effectively, leading to disputes and employment tribunals.	All cases to be logged on current CRM helpdesk. **Revised Completion Date: February 2013**	Completed

11	There is a risk of non-compliance with legislation and inconsistent treatment of employees leading to financial loss from tribunal costs and reputational damage as: there is a lack of documentation held on redeployees' files and no robust system to record the actions taken to prevent redundancy payments and ensure that each redeployee has had equal opportunity to be considered for vacant posts; and the redeployment files are kept in a lockable cabinet, but this is not locked, increasing the risk of unauthorised access to personal details and data protection breach.	Implement the outcomes of the process review **Revised Completion Date: October 2013**	Ongoing – on track from completion October 2013