

Establishment Control Guidance

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Purpose of this document

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To define the process to maintain the establishment in Your HR in order to ensure business units stay within the financial envelope set and to assist in maintaining budgetary control.

Background

All Heads of Service have provided details of their establishment, this has been signed off by Our People Board and Finance, the agreed hours against each Post have been loaded into Your HR to create the baseline establishment.


Definitions


- **Organisation Unit:** Organisation Units can be Directorates, Business Units, Service Areas, or Teams within Your HR. They link together to create the organisation hierarchy. Posts are created within Organisation Units.
- **Reporting Lines:** Reporting lines are a Person to Person relationship and establish where workflow is triggered to, this is separate to the organisation hierarchy.
- **Post:** A Post is effectively the 'job' within Your HR, against the Post the system holds the JEID, grade, terms and conditions, and budgeted hours.
- **Establishment:** Our Establishment will be able to show budgeted hours against Posts and People occupying Positions within Posts and any residual hours (vacancies).
- **Establishment Change Form:** The process to approve changes to Post establishment.






Establishment Control

Each Post in Your HR has the agreed baseline establishment hours attached to it, this will now prevent People being assigned to that Post that would take it over the agreed hours.

When completing a change in hours in Your HR the system will check the establishment hours and if the process means the hours are exceeded the manager will receive an error warning preventing them from completing the process. Below shows a screenshot of the error message that will appear in Your HR.

 This amendment would cause the budgeted hours of the post to be exceeded.

Hours and basis: Principal Accountant 

Contractual Hours	<input type="text" value="38.00"/>	
FTE hours	<input type="text" value="37.00"/>	
Post budgeted hours	74.00	
Annual weeks worked	<input type="text" value="52.14"/>	
Employment is term-time only	<input type="checkbox"/>	

When a vacancy requisition, new starter form, or transfer form is received into HRSC they will check the establishment and if there aren't sufficient establishment hours to complete the process they will inform you.

All staff (including Agency) must be recorded on Your HR as a Person against the Establishment.

Any temporary cover for maternity or long term sickness will require a change in Establishment hours because the absent person is still sat in the Establishment, in this scenario the [Establishment Change Form](#) will need to be completed.

Managers need to be aware of their establishment hours and are strongly advised to check the hours prior to starting any recruitment, transfer, or change in hours process to prevent delays in the process.

Establishment Change Management Process

If there is a business need to make any changes to a Post in Your HR this will require authorisation prior to HR making the change.

Changes to a Post include:-

- Changes to grade of a Post following a job evaluation process
- Increase the establishment hours against a post

Regrades

In this example the HR Advisory Service will work with the manager after the grading outcome to get approval to change the grade of the post prior to HRSC changing the grade in Your HR.

Increase in establishment hours

If changes to a Post are required the manager will need to complete this [establishment change form](#). The form will need to be checked by a Group Finance Manager and approved by your Director. Once approval is received the form will need to be emailed to hrandpayroll@wawickshire.gov.uk

Restructures

Most restructures will involve a change to the establishment, the HRBP will work with the manager and Director to ensure the restructure business case has the

relevant approval from Group Finance Director. The HRBP will then work with HRSC to make the changes to the Establishment in Your HR.

Where a manager has sufficient establishment hours against the Post there will be no requirement for any further approval for recruitment or changes to hours.

Resourcing / Recruitment Requests

Any resourcing or recruitment requests whether this be for permanent, fixed term, agency or consultant should be directed to the Resourcing team E: recruitment@warwickshire.gov.uk T: 01926 418125. For permanent and fixed term please use the [vacancy requisition form](#). This is the process for both centrally managed and local recruitment.

Once the form is received the Resourcing Team will contact the recruiting manager to either arrange a campaign planning meeting or to discuss over the phone the best approach to resourcing.

It is at this stage the Resourcing Team will check the Post Establishment Hours to ensure there are sufficient hours to start the recruitment process so any requests through the Change Management Process can start at this point rather than at the point where there is a successful candidate waiting to start. Ideally the manager will complete the Change Management Process as soon as they are aware they need to go over establishment.

Once the Establishment Hours are checked and verified the Resourcing Team will either work with the recruiting manager to start the recruitment campaign, give authorisation to local recruiters to start their local campaign, or confirm Pertemps can start the Agency recruitment process.

Annual Budget Setting

As part of the annual budget setting process HR will work with Finance to correct the Establishment Hours as required for the following year. In some circumstances where savings are required the establishment will not be able to be reduced on 1st April, in these scenarios HR can set a date in Your HR for the establishment hours to be reduced.

Mid Year Budget Changes

Where a Service Area is given additional staffing budget mid year it is the responsibility of the service to complete the Change Management Process to inform HROD to increase the Establishment Hours. Finance will confirm funding is available and outline any risks as part of the change management process.

Vacant Positions in Your HR

Where a Position has been vacant in Your HR for more than 6 months the systems team will end date the Position so it is no longer available in the Organisation Structure. This will not reduce the Establishment Hours against the Post it is a housekeeping activity to keep the Positions tidy.

Grade increase due to CPD

Some Service Areas have a process to increase the grade of a Person upon completion of CPD or qualifications.

In this scenario the transfer form will need to be completed. Because a change of grade requires the Person to be linked to a different Post, HR will reduce the Establishment Hours against the current Post and increase against the new Post prior to moving the Person.

Additional Payments (including sessional and casual hours)

Establishment Control process does not put any additional controls around additional payments. Current process for approval remains unchanged.