

HR Delegations

Implementation Presentation

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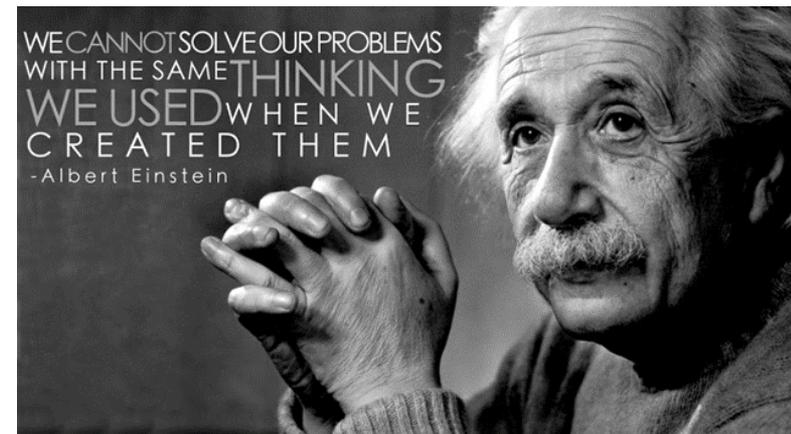
Presentation Overview

- Part 1: Overview of HR Delegations
- Part 2: In-depth view of Process changes

Part 1: Overview of HR Delegations

Context

- Delegations were spread across numerous HR Policies as well as an HR Delegations Policy.
- Delegations were ambiguous and complicated; including delegations written to include 'limitations' of delegation from the top down
- Temporary (since October 2014) informal escalation to VC
- HR Delegations out of alignment with financial delegations
- Lack of reference to source documents or authority
- Risk averse
- No clear conceptual frame



Delegations: functions and principles



James Cook University Act 1997

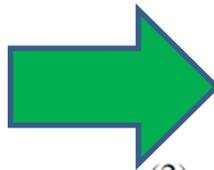
Current as at 1 July 2014

10 Council to promote university's interests

The council must act in the way that appears to it most likely to promote the university's interests.

11 Delegation

- (1) The council may delegate its powers under this Act to—
 - (a) an appropriately qualified member of the council; or
 - (b) a committee consisting of appropriately qualified persons, but which must include 1 or more members of the council; or
 - (c) an appropriately qualified member of the university's staff.
- (2) However, the council may not delegate its power—
 - (a) to make university statutes or rules; or
 - (b) to adopt the university's annual budget; or
 - (c) to approve spending of funds available to the university by way of bequest, donation or special grant.



- JCU Council approved the Policy and Delegations framework July 2015
- Council approved the use of four delegations registers:
 1. Financial
 2. Academic and Student
 - 3. Human Resources**
 4. Governance and Administration

Key deliverables & principles

- HR Delegation Policy
- HR Delegation Management Procedure
- HR Delegations Register

The principles of management of the delegations will be informed by the new Human Resource Delegations Policy. In general terms the principles will be:

- Have multiple delegates where possible to ensure flexibility, but delegation authorities cannot be delegated
- Be positioned close to the source of responsibility with the appropriate knowledge, skills and designated position (decision relevance)
- Adhere to the one up rule to ensure suitable governance oversight
- Use committees where necessary to bring in wider representation for making complex decisions
- Procedural functions and operational decisions are excluded from the register. (e.g. approving leave, conducting PDPs, day to day performance)
- Discontinuation of the use of 'nominees'. An HR delegate would be identified through an acting higher grade arrangement.

Additional benefits

- Ensure HR Delegations align to JCU's organisational design, and support achieving JCU's strategic intent and business goals
- HR delegations presented in an intuitive manner aligned to the employment life cycle
- Better alignment with other Delegations Registers
- Ensure HR Delegations influence (are not barriers to) a positive organisational culture
 - aligned to JCU's strategic intent and values
 - colleges are administratively light
 - agile, responsive organisation
- Continue to build our management/leadership capability:
 - Empowering management decision-making
 - Increase credibility in our managers
- Enable streamlined processes and procedures
- Learnings from other delegation reviews: particularly what is a delegation... and what isn't.

HR Delegations Policy

- Provides strategic 'common platform' for review of HR delegations.
- HR Delegations Policy based on previously approved financial delegations policy
- Includes principles of delegations
- Compliant with JCU Act 1997

Policy principles:

- Establish appropriate responsibility and accountability for various administrative and operational functions
- Have multiple Delegates where possible (to ensure flexibility)
- Be positioned close to the source of responsibility with the appropriate knowledge, skills and designated position (decision relevance)
- Adhere to the one up rule where appropriate (to ensure suitable governance oversight)
- Use committees where necessary (to bring in wider representation for making complex decisions)

What is a delegation?

.....the authority granted to a Delegate by a person or body in whom a power is vested by legislation or otherwise, to independently exercise that power. (Policy/Legal Office)

.....the Delegations included in this Register only relate to final decisions required for the whole of a human resource management process. (HR Register)

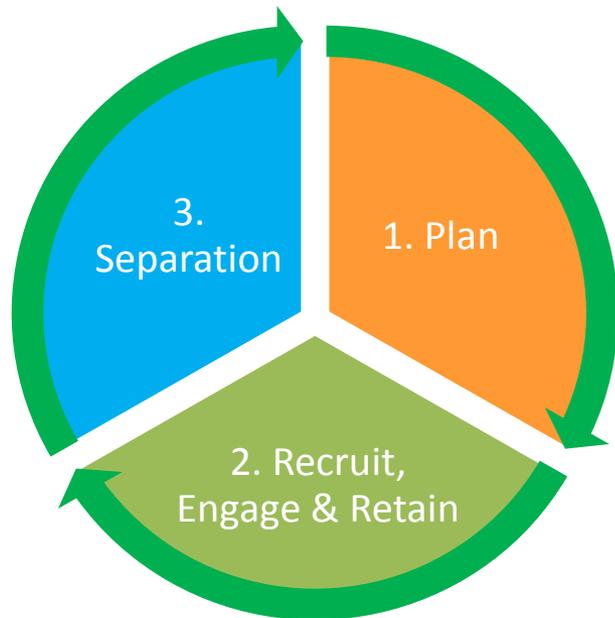
.....the Register complements decision-making authority vested in Position Descriptions, committee Terms of Reference and the inherent requirements of specific roles and responsibilities within the University. (HR Register)

HR Delegations Procedure

- Focusses on the change management for reviewing and amending the HR Delegations Register, particularly:
 - Establishing a new delegation
 - Changing an existing delegation
 - Removing a delegation
- Importantly, there is procedural information for MINOR and MAJOR changes.
 - Minor changes can be approved by the DVC DSR
 - A change to a delegation that does not impact the intent or limit of the Delegation or the position carrying the Delegation. It may include editorial or administrative changes or renaming of positions that does not result in a material change to a position's Delegations
 - Major changes must be approved by Council
 - A change to a delegation that impacts the intent and/or limits of the Delegation. Major amendments may include changing the limits of the delegated authority, changing the position/s to which the Delegation is made or the addition, consolidation, or removal of a Delegation from a register .

HR Delegations Register

Constructed to map decision flows across the employment life cycle:



All delegations linked to relevant operational source documents:

- Policy
- Procedure
- Enterprise Agreement

Functions are applied by the relevant delegate, identified by the Delegation BAND structure

Implementation & Transition

- Implementation on 1 June 2017
 - Forms will be updated and available for 1 June implementation
 - Supporting Processes, Guides, etc. amended but prioritised by high-volume
 - Draft Confluence Processes, Guides and consultation
- **Operational escalations**
 - **VC's escalation of October 2014 removed as at 1 June**
 - **However UE have put administrative escalation in place for function 1.4 & function 2.6 delegations from Band 5 to Band 7**
- Transitional – across the year
 - JCU Policy and Procedure review / development

Implementation: 1 June 2017

- Prioritised for implementation on 1 June 2017
 - Forms will be updated and available for 1 June implementation
- The new/amended forms will reflect changes in the HR Delegation Register.
- Establishment and Recruitment & Selections forms will be prioritised for completion.
- All forms will be updated ready for release online.
- Summarised within the following slides, including:
 - Request to Create, Change or End a Position
 - Request to advertise
 - Request to Appoint
 - Request to Vary Hours
 - Casual Academic Engagement
 - Casual Engagement – Professional, Technical and Research
 - Early Retirement Form
 - Fixed Term Engagement 6 months or less
 - Adjunct Appointment Proposal (merging with Adjunct Re-Appointment Proposal)
 - Higher Duties & Financial delegations Form

Transition: across 2017

- Aligned to HR Committee dates 17 August and 9 November
 - JCU Policy and Procedure Review
 - New Policy and procedure development
- There are 7 policies with direct reference in the HR Delegations Register.
- Policy will be updated and reviewed and gradually sent to the HR Committee for approval.
- There are 6 policies/procedures that require review and 3 to consider for creation:
 - Adjunct Appointment Policy
 - Employment and Recruitment of Casuals Policy
 - Market Loading Policy
 - Recruitment, Selection & Appointment Policy and Best Practice Guide
 - Academic Promotions Procedure
 - Early Retirement Policy
 - Establishment Policy (nil Policy)
 - Change Management Policy (nil Policy)
 - Performance Management Policy (nil Policy)

NB re: transition

- Where inconsistency is found between the HR Delegations Register and a delegation contained in:
 - A policy, the Delegations Register is the authority
 - the Enterprise Agreement, the Enterprise Agreement is the authority
- Changes that may occur to the HR Delegation Register will be coordinated by HR in accordance with the HR Delegation Management Procedures.

Staff

Staff | I want to | Human Resources | Enterprise Bargaining 2016 | Learning and Teaching

STAFF

Find staff

Search for a staff member

All fields ▾

🔍

Important messages

- Enterprise Bargaining 2016 site
- Training for JCU Employees
- Training for JCU Managers
- Learn about free counselling services for JCU staff and their families

➤ Staff by organisational unit

➤ Major university units

My HR Online

COGNOS - Business Intelligence

Learning and Teaching

Policy Library

1.

Where is The Register and resources?

Policy

Policy search

WELCOME TO POLICY@JCU

The Quality, Standards and Policy Unit are responsible for JCU's policies, Policy Library and Policy Handbook. If you have any queries regarding a specific policy, please direct them to the Policy Sponsor in the first instance (located in the administration section of the policy) or contact Policy@jcu.edu.au

Search our policies

Browse our policies

- Academic Governance
- Community, Marketing & Alumni
- Corporate Governance
- Equity
- Estate & Facility Management
- Financial Management
- Health Safety & Environment
- Human Resources & Staff Development
- Information Communication Technology
- International
- Learning & Teaching
- Quality & Planning
- Research Education
- Research Management
- Student Services

2.

Policy Handbook

University Delegations

Templates

University Delegations

Policy search

POLICY | PROCEDURES | UNIVERSITY DELEGATIONS

Print Friendly

Policy | Procedures | Other related documents

Financial Delegation

Human Resources Delegation

Policy and Procedure

- Human Resources Delegation Policy **effective until 31/05/2017**
- Human Resources Delegation Policy **effective from 01/06/2017**
- Human Resources Delegation Management Procedure (Contact Glenn McMahon, Manager Quality, Standards and Policy)

Register

- Human Resources Delegations Register **effective from 01/06/2017**

Academic and Student Delegation

3.

Reading the HR Delegations Register

- Category = The overarching component of the HR function for the related decisions
- Band = The Relevant Band number, which has an associated position or committee in the register
- Function Reference = numbering for ease of reference to the section of the HR Delegations Register
- Function = The decision which the delegate is authorised to make
- Source Ref = the clause or section of the EA or JCU policy/procedure with detail which relates to the decision made against the Function
- Source = The name of the document (i.e. EA or JCU policy/procedure) with detail which relates to the decision made against the Function

** Note: there are gaps in the source documentation, which form part of the implementation plan across 2017. Once the source document is reviewed/created, the Register will be updated.*

CATEGORY	BAND	Function Reference	FUNCTION	Source Ref	SOURCE
Establishment Management	11	1.1	Approval to Create / Change Positions – with the employment classification of BAND 4 (SDVC) or 3 (DVC)		
	8/9	1.2	Approval to Create / Change Positions – with the employment classification of BAND 2 (Deans of Colleges) or 1 (Deans/Directors of Directorates)		
	8/9	1.3	Approval to create / change positions – Professorial Level position	Clause 25	Position Classification and Reclassification
	5	1.4	Approval to Create/Change Positions excluding Professorial level positions or BAND classified positions.	Clause 25	Position Classification and Reclassification

The delegations: BANDS

James Cook University Human Resource Delegation Bands

- Found in the HR Delegations Register
- The Relevant Band number and Position Title (e.g. Head of Work Unit) will be referenced in forms and other documents to identify the delegate level with the relevant authority to apply the delegation.

Band	POSITION or COMMITTEE
11	<ul style="list-style-type: none"> • Council
10	<ul style="list-style-type: none"> • Human Resources Committee or Chancellor’s Committee
9	<ul style="list-style-type: none"> • Vice Chancellor
8	<ul style="list-style-type: none"> • Senior Deputy Vice Chancellor
7	<ul style="list-style-type: none"> • Deputy Vice Chancellor, All roles with the title of
6	<ul style="list-style-type: none"> • Director Human Resources
5	Head of Work Unit including: <ul style="list-style-type: none"> • Dean, All roles with the title of • Director, All roles with the title of, and reporting to a DVC of a Division • Pro Vice Chancellor, All roles with the title of • Chief of Staff
4	Work Unit Operations: <ul style="list-style-type: none"> • Manager – College Operations; for the relevant Dean • Manager, MICRRH Operations; for the Director MICRRH • Chief Operations Officer and Executive Officer; for the Director ARC Centre of Excellence for Coral Reef Studies • Chief Operations Officer; for the Director AITHM • Divisional Manager Research and Innovation and Executive Officer; for the Directors within the Directorates of the Division of Research & Innovation • Executive Officer; for the Directors within the Division of Academic and Student Life

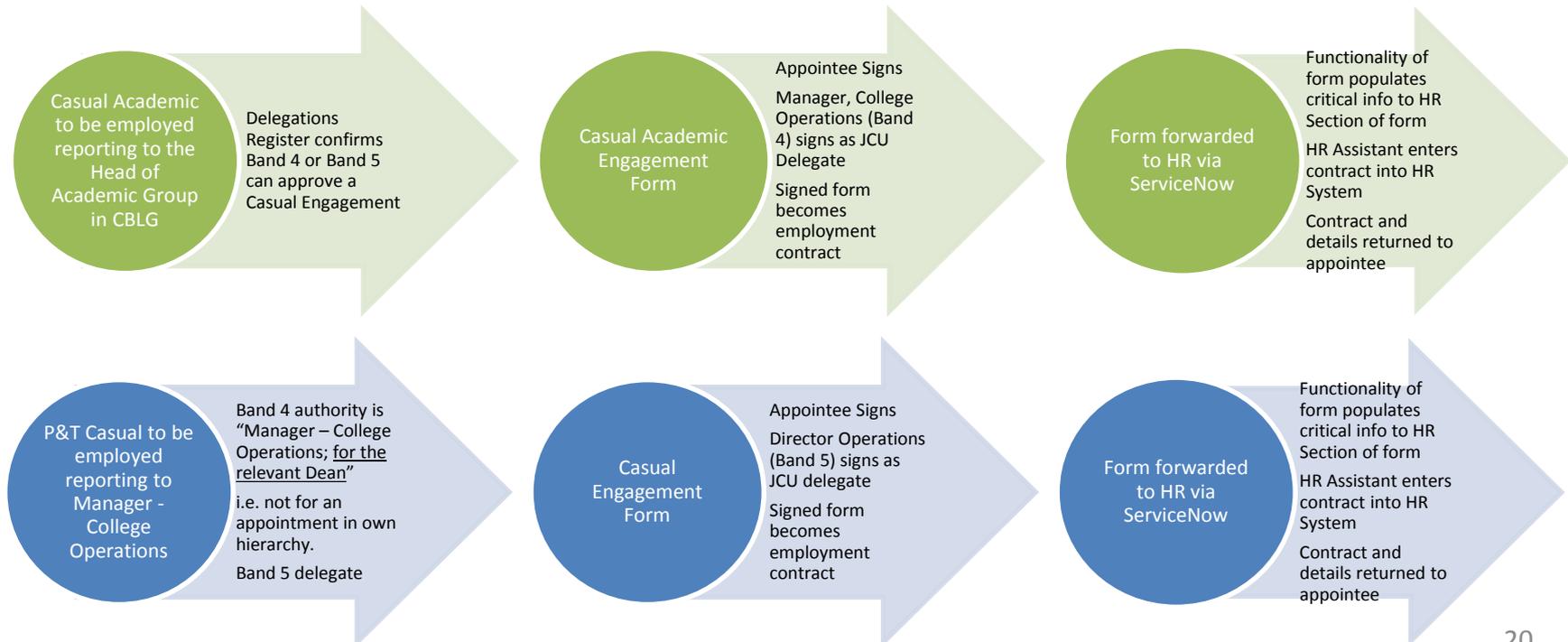
Applying a Delegation

Key Points

- Delegation Band:
 - Role must be exact: Similar roles are not delegates.
 - Work Unit Operations purpose is for applying a delegation for the relevant Dean/Director. It is not a delegation to take action for direct reports in own structure.
- Delegations are applied with appropriate due diligence, and compliant with relevant legislation, EA, policies and in alignment with supporting procedures and processes.
- A delegation in section 2. Recruit, Engage and Retain – relating to an “occupancy”, must occur only where there is an existing “position” established in line with section 1. Plan.

Applying a Delegation

CATEGORY	BAND	Function Reference	FUNCTION	Source Ref	SOURCE
Recruit, Appoint & Remunerate	4, 5	2.7	Approve a Casual Engagement		<i>Employment and Recruitment of Casuals Policy</i>



High level key changes

- **Introduction of banded delegations**
- Re-positioning some current Council delegation (e.g. DVC to Dean/Director)
- Inclusion of delegations practiced, but silent
- Capture delegations bound by Enterprise Agreement 2013-2016 in the Register.
- Removing temporary VC's delegation, emphasising Establishment Management focus
 - **The University Executive has determined that an administrative escalation of Function 1.4 and 2.6 from Band 5 to Band 7 (DVC) will be put into place**

The delegations – changed

Category: Establishment Management

BAND	Function Reference	FUNCTION	Source Ref	SOURCE	Previous Delegation / summary of change
8/9	1.3	Approval to create / change positions – Professorial Level position	Clause 25	<i>Position Classification and Reclassification</i>	No change to the delegation, which exists in the current HR Delegations Policy.
5 7	1.4	Approval to Create/Change Positions excluding Professorial level positions or BAND classified positions.	Clause 25	<i>Position Classification and Reclassification</i>	The approval to create/change positions currently sits with the DVC. This proposal is suggesting lowering the delegation to Head of Work Unit. Supporting procedures will reflect expectations where the budget allocation impacts the decision making.

- The VC's escalation of Oct 14 is rescinded.
- However, UE determined administrative escalation particularly relating to Function 1.4 from Band 5 to Band 7

The delegations – changed

Category: non-paid appointments

BAND	Function Reference	FUNCTION	Source Ref	SOURCE	Previous Delegation / summary of change
7	2.3	Approve an Adjunct Appointment		Adjunct Appointment Policy	Lower the delegation, which exists in the Adjunct Appointment Policy from the Vice Chancellor to the Deputy Vice Chancellor

Category: promote

8	2.4	Approve an academic promotion		Academic Promotion Policy	Lower the current delegation from the VC to the SDVC, as contained in the Academic Promotion Policy..
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The delegations – changed

Category: Recruit, Appointment & Remunerate

BAND	Function Reference	FUNCTION	Source Ref	SOURCE	Previous Delegation / summary of change
7	2.5	Approve to advertise and appoint continuing and fixed term appointments, including Professorial roles or Direct Appointments, and excluding non-standard terms, conditions or remuneration.		<i>Recruitment, Selection & Appointment Policy</i>	<i>Lower the delegation for appointment to professorial roles from the VC to the DVC. Also, remove reference to the SDVC as this is unnecessary, and is reflected in the one-up principle.</i>
5 7	2.6	Approve to advertise and appoint continuing and fixed term appointments, excluding Professorial level appointments or Direct Appointments and excluding non-standard terms, conditions or remuneration.		<i>Recruitment, Selection & Appointment Policy</i>	<i>Lower the delegation from the DVC to the Head of Work Unit.</i>

- The VC's escalation of Oct 14 is rescinded.
- However, UE determined administrative escalation particularly relating to Function 2.6 from Band 5 to Band 7

The delegations- changed

Category: Recruit, Appointment & Remunerate

BAND	Function Reference	FUNCTION	Source Ref	SOURCE	Previous Delegation / summary of change
4, 5	2.7	Approve a Casual Engagement		<i>Employment and Recruitment of Casuals Policy</i>	<p><i>Current delegation to the Head of Work Unit.</i></p> <p><i>Work Unit Operations introduced to enable those delegates to enact a decision for the College/Directorate, which would otherwise sit with the Head of Work Unit.</i></p> <p><i>Limit of work unit operations approving a casual appointment only up to 6 months timeframe is removed.</i></p>
4, 5	2.8	Approve the Delegation of Duties, including payment of a Higher Duties allowance	<i>Sched 2</i>	<p><i>JCU Enterprise Agreement 2013 - 2016</i></p> <p><i>Recruitment, Selection & Appointment Policy</i></p>	<p><i>Current delegation is to the Head of Work Unit .</i></p> <p><i>Work Unit Operations introduced to enable those delegates to enact a decision for the College/Directorate, which would otherwise sit with the Head of Work Unit.</i></p>

The delegations – changed

Category: Recruit, Appointment & Remunerate

BAND	Function Reference	FUNCTION	Source Ref	SOURCE	Previous Delegation / summary of change
6	2.9	Approve remuneration where non-standard terms, conditions or remuneration is to be offered (e.g. market loading, Agreed Rate).		<i>Market Loading Policy</i>	<p><i>The current delegation to approve a Market Loading for Academic Staff is changed from the SDVC and the Director HR to the Director HR.</i></p> <p><i>Also, the delegation to approve a Market Loading for P&T staff is changed from the DVC and the Director HR to the Director HR.</i></p> <p><i>This new delegation also encompasses non-standard terms, in addition to Market Loading.</i></p>

The delegations - changed

Category: Ending Appointment

BAND	Function Reference	FUNCTION	Source Ref	SOURCE	Previous Delegation / summary of change
7	3.5	Terminate an Adjunct Appointment		Adjunct Appointment Policy	Lower the delegation from the SDVC to the Deputy Vice Chancellor

Key Take Aways

- Delegation Band:
 - Role must be exact: Similar roles are not delegates.
 - Work Unit Operations purpose is for applying a delegation for the relevant Dean/Director. It is not a delegation to take action for direct reports in own structure.
- Delegations are applied with appropriate due diligence, and compliant with relevant legislation, EA, policies and in alignment with supporting procedures and processes.
 - Every day operations or steps in a process (e.g. leave approvals, performance management, early stages of unsatisfactory performance management) are not an HR Delegation.
- **University Executive determined administrative escalation for functions 1.4 and 2.6 from Band 5 to Band 7**
- A delegation relating to an “occupancy” (i.e. section 2.Recruit, Engage and Retain) can only occur where there is an existing “position” established (i.e. section 1.Plan).
- Where inconsistency is found between the HR Delegations Register and a delegation contained in:
 - A policy, the Delegations Register is the authority
 - the Enterprise Agreement, the Enterprise Agreement is the authority
- Changes that may occur to the HR Delegation Register will be coordinated by HR in accordance with the HR Delegation Management Procedures
 - Feedback any time via the HR Consultant

Part 2: In-depth view of Process changes

Approach to process changes

- Changes to forms for 1 June release – focus on HR Delegations changes.
 - *Nb. Old forms will not be accepted after 1st week of June (to allow for finalisation of forms already in train prior to 1 June)*
 - *HR hold an “issues register” to capture other improvements – improvement feedback anytime via your HR Consultant.*
- Minor improvements introduced (e.g. merge adjunct forms)
- Other improvements - introduce as continuous improvement
 - Some forms where delegation not changed, the form will be updated in future to align to the consistent format of the HR PDF forms.
 - Update of HR Delegations bands, via Council
 - *Feedback welcome anytime: via HR Consultant*

- Designed to capture the information needed to implement the decision, including formal approval in line with HR Delegation.
- Built in Functionality:
 - Don't print!
 - PDF forms enable information entered in one section, to populate in a second section.
 - Electronic signatures to be used
 - Efficient - removing need for multiple data entry.
 - Less risk – Multiple entry increases data entry errors
 - Enables key information to be front-and-centre as needed by different audience to the form.
 - No-paper copy (avoid a paper copy becoming the official record to be retained potentially for ever – more sustainable for this to be an electronic record!)
- Some forms become the EMPLOYMENT CONTRACT. **Changes to form content is unauthorised** as they are then binding
 - required to comply with Enterprise Agreement 2013-2016
 - Required to ensure efficient processing

Forms Updated

POSITION/ESTABLISHMENT:

- Request to Create, Change or End a Position

OCCUPANCY:

- Request to Advertise
- Fixed Term Engagement 6 months or less
- Request to Appoint
- Request to Vary Hours
- Request for Higher Duties and HR & Financial Delegations

OTHER:

- Adjunct Appointment Proposal (merged with Adjunct Re-Appointment Proposal)
- Casual Academic Engagement
- Casual Engagement – Professional, Technical and Research
- Early Retirement Form

Reminder!

Establishment Management Process

- Establishment changes must be made on the *Request to Create, Change or End a Position* form.
- The occupancy forms do not activate changes to the position – they impact the occupancy only.
- A position must be established (1.Plan) prior to any action against the occupancy (2.Recruit, Engage and Retain)
- The Annual Budget Cycle phase of Establishment Management intends to have the Establishment for the coming year finalised in the HR system by 1 January, enabling responsive occupancy action in year.

Changes other than delegation section

Adjunct appoint

- Merged the adjunct appointment proposal and the adjunct reappointment forms together.

Higher Duties

- HR Delegation tick box included on the form
 - i.e. Fill out the form to confirm you have been given authority to act in another role for a period of time (audit trail).
 - Three check box options:
 1. Also given HR delegation while acting
 2. Also given Financial delegation while acting
 3. Also receive Higher Duties allowance while acting

Request to Create/Change/End a Position

- Functionality changed – more visibly clear

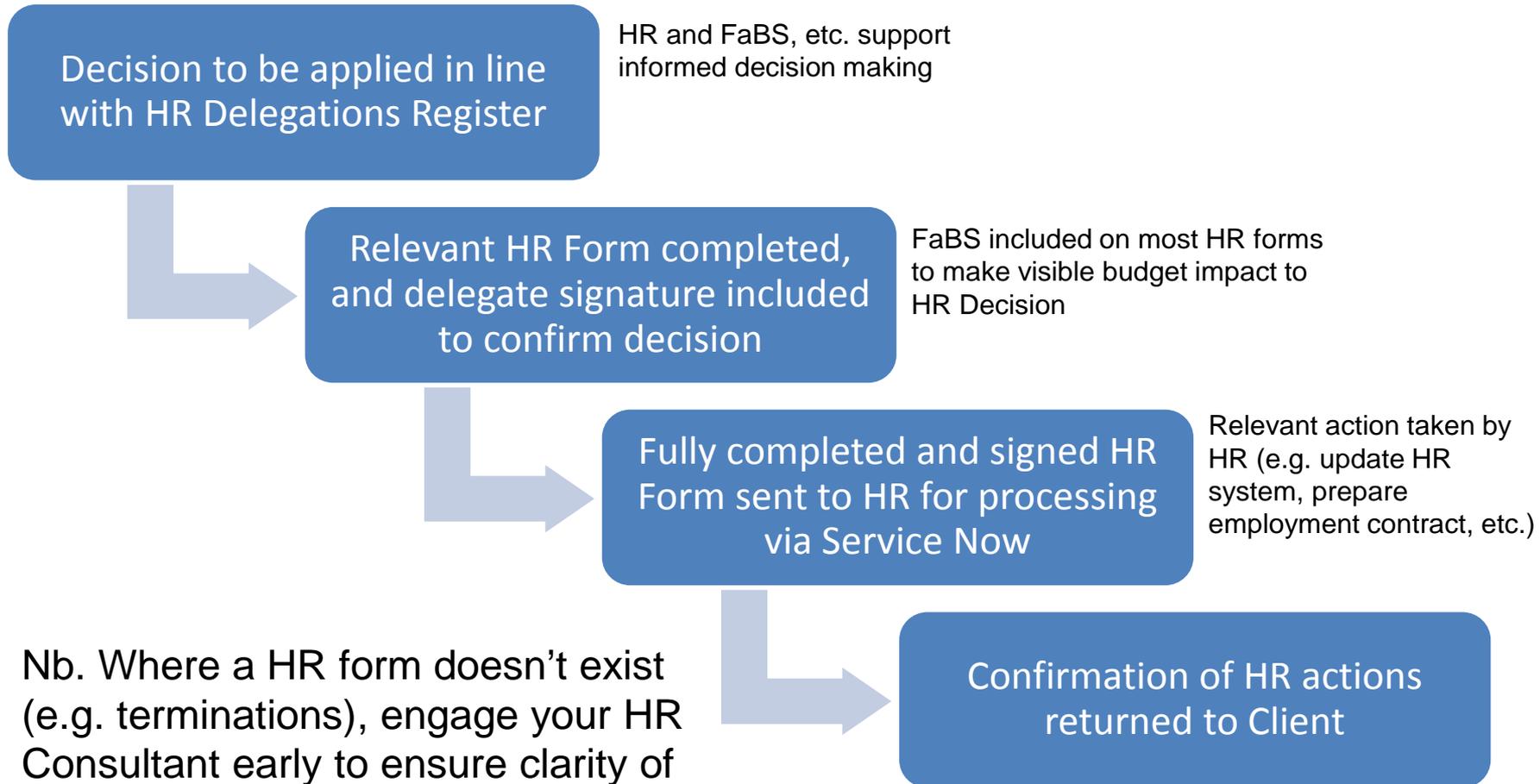
Request to Appoint

- Added Direct Appointment Criteria
- Justification for Market Loading and Director HR approval section (as per delegation)

Request to Vary Hours

- Fillable Form

General process



Nb. Where a HR form doesn't exist (e.g. terminations), engage your HR Consultant early to ensure clarity of policy, procedure, processes and responsibilities.

What you can do to prepare

- Always use the current version of forms available on the HR webpage.
 - *Delete any 'old' forms saved in your file shares*
- Consider internal expectations and communications within your division/college/directorate/centre in light of changed delegations
- Actively refer to the HR Delegations Register when preparing to progress an HR related decision. If unclear, contact your HR Consultant early.

Timeline

21 April 2017	Council approval of Register
April / May 2017	Prepare Forms and processes for implementation
1 June 2017	Implementation Date
Across 2017	Review / introduce policy and procedure changes

For further information or continuous improvement feedback, please contact your HR Consultant or HR Business Partner

