

Internal Audit Report

Recruitment, Selection and Onboarding 2023/24

Draft report: 12 June 2024

Final report: 2 July 2024

Last audited: June 2016 (Limited Assurance)

Audit Objective

The recruitment, selections and onboarding processes are written and adhered to ensuring that the process is transparent, the best candidate is in the post, and adequate induction is provided to effectively undertake their role.

Assurance Opinion

Reasonable

There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited.

Number of Actions

Priority	Joint	South	Vale	Reference
Priority 1	-	-	-	-
Priority 2	2	-	-	1 & 3
Priority 3	2	-	-	2 & 4
Total	4	-	-	Appendix 1

Key Risks Reviewed

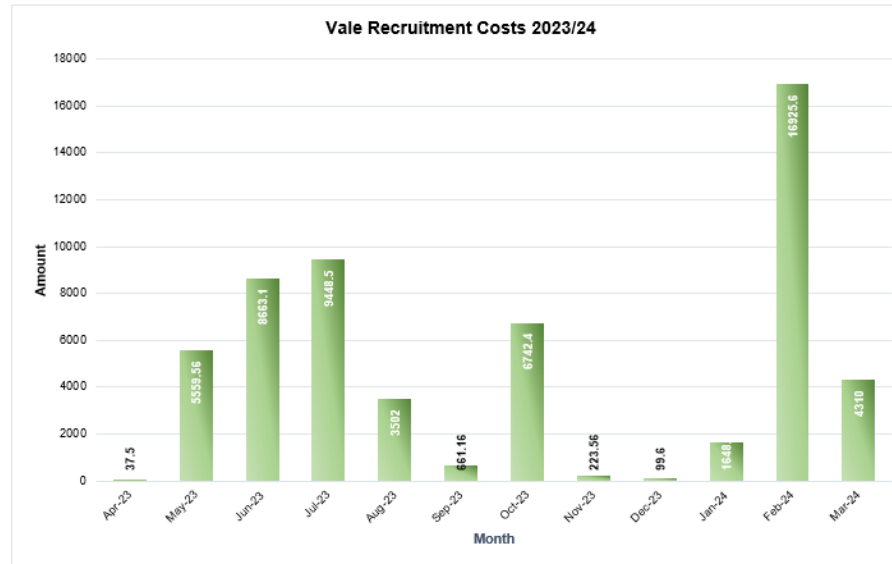
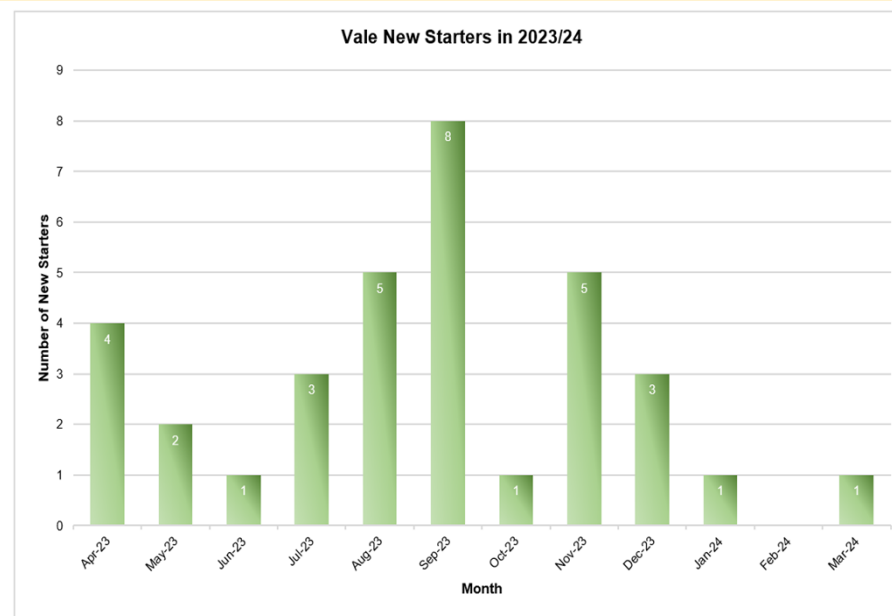
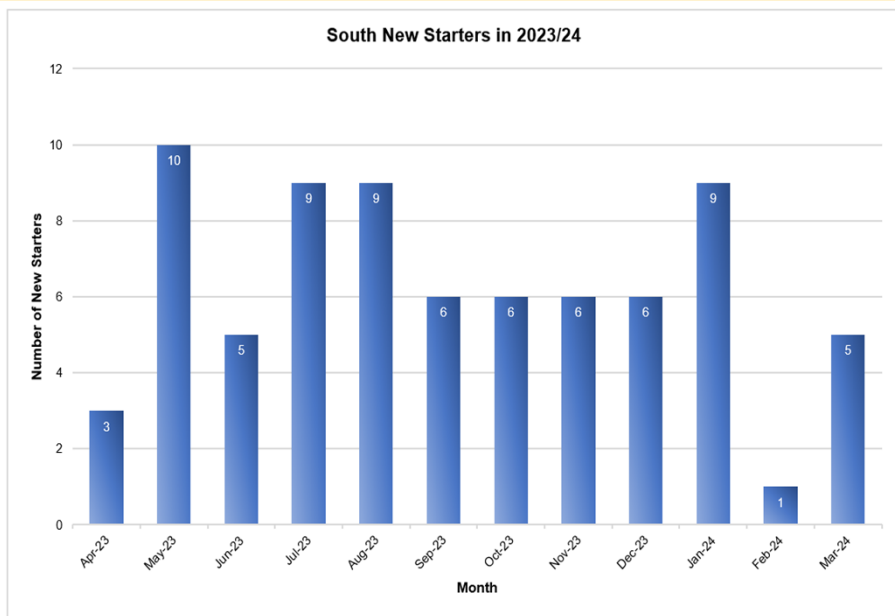
- Candidates' personal data not securely held may be in breach of the Data Protection Act 2018.
- Candidates penalised and not selected due to their disability, ethnicity, or race may breach The Equality Act 2010.
- Lack of induction information during onboarding may be in breach of the Employment Rights Act 1996.
- Lack of consistency and transparency in the recruitment process may risk reputational damage from unsuccessful candidates.

The audit scope included:

Objective	Audit Scope
1 Policies and procedures	<ul style="list-style-type: none"> • Adequate policies, procedures and templates are in place for recruitment, selection and onboarding processes. • Line managers are provided with appropriate recruitment training to carry out the recruitment process consistently and satisfactorily.
2 Recruitment request	<ul style="list-style-type: none"> • All recruitment requests are reviewed to ensure they are required, there is adequate budget available to fund the post and appropriate authorisation is sought to commence the recruitment process.
3 Recruitment process	<ul style="list-style-type: none"> • For each appointment, the councils' recruitment process is adhered to with the people and culture team maintaining all supporting documentation.
4 Pre-employment checks	<ul style="list-style-type: none"> • For each appointment, all the relevant pre-employment checks have been undertaken prior to commencement in employment.
5 Induction	<ul style="list-style-type: none"> • For each new starter, inductions are completed in a timely manner.

Executive Summary

In 2023/24 South and Vale recruited 109 (75 South and 34 Vale) new employees, totalling £140,963 (£83,142 South and £57,821 Vale) in recruitment costs.



Key Findings		
Objective	Audit Scope	
1	Policies and procedures	<ul style="list-style-type: none"> The joint recruitment policy is available on Jarvis and needs refreshing, as it was last updated in November 2014. Recruitment procedures and guidance, such as recruitment to an established post, managers' guide to right to work checks and managers' guide to shortlisting and beyond, are in place; however, there are no procedures on recruitment to an unestablished post. Templates on Jarvis are up to date. However, for several new starters, the cost centre codes/apportionments on the notification of appointment forms differed to the request to recruit forms, Unit4 and ResourceLink systems.
2	Recruitment request	<ul style="list-style-type: none"> The recruitment request process is appropriately followed, and service areas are asked to review the post prior to recruitment. Request to recruit forms are not always completed correctly. Examples include lack of signoff by the head of service or strategic finance, and use of outdated versions of the form. The restructure process was found to be satisfactorily followed, in line with the organisational change policy.
3	Recruitment process	<ul style="list-style-type: none"> We compared our recruitment process against Advisory, Conciliation and Arbitration Service (ACAS) guidance and confirmed that the South and Vale recruitment process is in line with best practice. We reviewed a sample of new starters in 2023/24 and job descriptions and adverts were satisfactorily completed and submitted to Hireful, our advertising platform; applicants are appropriately shortlisted; candidates scored the best on the interview matrix were offered the position; and notification of appointment forms were fully and accurately completed and signed by both the recruiting manager and strategic finance. Per the contracts register, the Hireful agreement is due to expire on 30 December 2024.
4	Pre-employment checks	<ul style="list-style-type: none"> Procedures covering pre-employment checks are in place, which provides guidance to recruiting managers on the tasks required prior to a new starter commencing employment. From the new starters we reviewed, pre-employment checks were undertaken, e.g. medical questionnaires, proof of ID, right to work, references and DBS checks (where applicable).
5	Induction	<ul style="list-style-type: none"> The 'Your Induction' document outlines the induction process and includes a checklist for new starters and line managers to complete and sign off. From the new starters we reviewed, we confirmed that induction activities were undertaken, including inductions, office tours, induction checklists, and DSE assessments. When compared against Chartered Institute of Personnel and Development (CIPD) guidance, the South and Vale induction process is in line with best practice.

3.1

Agenda Item 9