

Internal Audit Report

2017-18 Onboarding Process

June 2018

To: Interim Assistant Chief Executive
Strategic HR Lead
Operations Director (CSG)
Strategic HR Director (CSG)
Operations Director (CSG)
Business Manager (CSG)
Service Analyst (CSG)
Inspection and Improvement Lead, Family Services

From: Senior Audit Executive

We would like to thank management and staff of CSG & LBB for their time and co-operation during the course of the internal audit.

Cross Council Assurance Service

Executive Summary

| Assurance level | Number of recommendations by risk category | | | | |
|--|--|------|--------|-----|----------|
| Limited | Critical | High | Medium | Low | Advisory |
| | - | 1 | 3 | - | 1 |
| Scope | | | | | |
| <p>Onboarding is the process by which the most suitable new starters are recruited and integrated into the established culture and operations of the Council to optimise the achievement of the Council's objectives.</p> <p>As part of the Ofsted Improvement Plan the target timescale for recruitment within Family Services (FS) is 60 working days from conditional offer to employee start date. This review will focus on the assessment of control processes from the decision to recruit until the induction of new Council starters.</p> | | | | | |
| Summary of findings | | | | | |
| <p>Pre-employment checks for starters are undertaken on a timely basis. There is also a sound system in place to ensure that all starters commence their employment with the Council within 60 days of Conditional Offer Letter being sent.</p> <p>FS Recruitment adheres to a controlled and centralised process, that is driven by performance management. All information gathered during the various stages of FS recruitment are retained in a clear and concise manner by CSG HR.</p> <p>We identified the following issues as part of the audit:</p> <ul style="list-style-type: none"> • <u>New Starter Induction (Finding 1, High)</u> – We were unable to confirm attendance at Induction training for 14/19 (74%) of our sample of new starters. Non-attendance for induction sessions is not alerted to the responsible line managers. A ‘Site Welcome Pack’ for new starters, prepared by the Estates Facilities Management team and covering key areas including fire emergency health and safety procedures, is not communicated to new starters. • <u>Interview and Selection Process (Finding 2, Medium)</u> – Declaration forms are not always signed and sent to HR, as per the Recruitment and Selection Policy. Evaluation forms are not regularly completed during interviews and sent to HR for retention. • <u>Evaluation: Performance Management (Finding 3, Medium)</u> - Key dates for various stages of the evaluation process are not always recorded by HR. Performance measurement of the timeliness of the evaluation process is currently not in place outside of Family Services. • <u>Pre-employment checks (Finding 4, Medium)</u>- Documents retained by the Council are not always date/time stamped to confirm that originals were seen. <p><u>Advisory Finding:</u></p> <p><u>We were unable to verify that all new starters within our sample had their IT needs met upon their start date. We suggest that management:</u></p> <ul style="list-style-type: none"> - Request data relating to IT set-up from new starters, i.e. whether IT set-up had been achieved for starters at start date. - Communicate negative trends where applicable to CSG IT colleagues to drive improvements in the IT set-up process within the recruitment process. | | | | | |

2. Findings, Recommendations and Action Plan

| Ref | Finding | Risks | Risk category | Agreed action |
|-----|--|--|--------------------|---|
| 1. | <p><u>New Starter Induction (Operating effectiveness):</u></p> <p>All new starters are invited to attend Corporate Starter Induction (CSI) training by the CSG Learning and Development (LD) Officer once they have started.</p> <p>We selected 15 Council starters (both FS and non-FS) and 4 Family Services new starters (recruited as part of the campaign) from January-December 2017 to ensure that they had attended CSI training.</p> <p>We were unable to confirm attendance for 10/15 (67%) new starters, and 4/4 (100%) new starters in Family Services (FS). The names could not be located on attendance sheets provided by the CSG LD Officer for our review. CSG LD indicated that there was no monitoring of attendance beyond the initial invites and recording on attendance sheets, so non-attendance would not be escalated/alerted to the relevant Council line managers to ensure that starters attended CSI training later.</p> <p>Attendance sheets for 2017-18 CSI training sessions were not retained consistently, in line with the Council's retention policy.</p> <p>Our review has also found that a 'Site Welcome Pack' for new starters is available on the Intranet. This pack is customised for different sites, for instance NLBP and Barnet House and has been created by the Facilities Management Team to induct starters on key areas such as Display Screen Equipment and fire emergency health and safety procedures, recycling processes, the escalation of building issues and IT contact details. The Pack is currently <u>not</u> being circulated to new starters as line managers were unaware that the documentation was available.</p> <p>Note 1: Since the start of the audit, the Learning and Development team have returned to the Council as an in-house team and are no longer part of CSG.</p> | <p>If starters are not inducted properly within set timeframes then there is a risk that the starter may not understand and comply with the Council's policies, processes and practices and statutory requirements thereby failing to become fully competent in their jobs and the working environment at the earliest stage.</p> <p>If new starters are not properly inducted then this could give rise to underperformance resulting in dismissals or capability processes which can be time consuming, costly and have a negative impact on service delivery.</p> | <p>High</p> | <p><u>Corporate Induction Training:</u></p> <p>a) <i>Induction training attendance records will be retained for referral in line with the Council's Records Retention and Disposal Policy [updated June 2014], 2 years in terms of paragraph 3.6.18</i></p> <p>b) <i>A protocol will be agreed between CSG HR and LBB so that HR BPs will follow up non-attendance. The data will be provided by LBB LDO.</i></p> <p><u>Recruitment and Selection Training:</u></p> <p>c) <i>The Learning and Development Officer will build a segment into the quarterly Managerial recruitment & selection training which specifies that managers are responsible for ensuring that employees attend the corporate induction and should monitor attendance.</i></p> <p><u>Welcome Site Pack:</u></p> <p>d) <i>LBB will agree a protocol in conjunction with CSG for ensuring that new employees are made aware of the relevant Site Welcome Pack (created and managed by CSG Estates-Facilities Management) when commencing their employment with the Council</i></p> <p>Responsible officer:</p> <p>HR Consultant Learning and Development Officer</p> |

| Ref | Finding | Risks | Risk category | Agreed action |
|-----|--|---|---------------|--|
| | | | | Target date: 31 July 2018 |
| 2. | <p><u>Interview and Selection Process (Operating Effectiveness)</u> <u>Recruitment Declaration Form</u></p> <p>The Recruitment and Selection Policy (March 2016) states that if a member of staff is a close relative, a friend, an acquaintance, a Councillor or have had any form of relationship either present or past with a job candidate, the relationship must be declared to the relevant Assistant Director or Director and the member of staff must not be involved in any related recruitment and selection decisions, for example interview and evaluation processes.</p> <p>All members of the interview panel are required to complete a "Recruitment Declaration Form" (RDF) to state that there is no close family relationship between them and the applicants. The form should be sent to CSG HR.</p> <p>We selected 15 Council starters from January-December 2017 to ensure that RDF had been completed consistently. We found that:</p> <ul style="list-style-type: none"> - For 9/15 (60%) cases, HR confirmed that managers on the interview panel did not sign and send them a declaration form prior to conducting the interview. - For 6/15 (40%) cases, RDF documentation had not been provided to us for review at the date of the draft report, including the 4/4 cases in Family Services. <p>We tested a further 4 starters in FS who were employed as part of the Recruitment Campaign called Bouncebackability, a specific campaign running from October 2017 until March 2018 to drive recruitment in FS as part of the OFSTED improvement plan. We found that none (0/4) RDF had been sent to HR by recruiting managers, confirming a lack of awareness of the relevant policy. We also found that there was no process for CSG HR to pro-actively prompt recruiting managers to submit RDFs.</p> <p>Note 2: Following the transfer of the L&D function back to LBB, the recruitment and selection training is being redesigned to</p> | <p>If the interview and selection process is biased, then the process will fail to identify the most suitable candidate, thereby selecting a candidate with sub-optimal skill sets for the role.</p> <p>If the candidate evaluation process is not objective, then there could be a risk of discrimination leading to reputational damage and financial penalties associated with failure to comply with statutory requirements.</p> <p>If the candidate evaluation process is not undertaken, then there could be a risk of discrimination leading to reputational damage and financial penalties associated with failure to comply with statutory requirements or the recruitment of the sub-optimum candidate.</p> | Medium | <p>Target date: 31 July 2018</p> <p>a) <i>LBB will update and simplify the policy and guidance framework in relation to recruitment and onboarding.</i></p> <p>Responsible officer: Strategic HR Lead</p> <p>Target date: 20 September 2018</p> <p>b) <i>As part of action a) the Recruitment and Selection Policy will be reviewed and updated. LBB will update Paragraph 5.2 to emphasize that all officers and panel members involved in a specific recruitment and selection process should formally declare/confirm the existence or absence of any close/family relationships, as defined, by completing the Recruitment Declaration Form in full. The Policy will also make reference to the Interview Assessment Form to encourage a consistent approach across the Council.</i></p> <p>Responsible officer: Strategic HR Lead</p> <p>Target date: 20 September 2018</p> <p>c) <i>A recruitment process map, defining the roles and responsibilities between CSG HR and LBB will be developed and communicated to those involved in a recruitment process. For example,</i></p> |

| Ref | Finding | Risks | Risk category | Agreed action |
|-----|---|-------|---------------|---|
| | <p>ensure it best meets the needs of recruiting managers and will be reinstated during Q2.</p> <p><u>Candidate evaluation forms sheets (Operating effectiveness):</u></p> <p>The TAS Shortlisting and Interview Guidance states that evaluations for candidates processed through TAS – the E-recruitment system used by CSG HR to manage recruitment exercises – must be recorded in TAS by the recruiting manager and interview panel members. Interview questions are created in the system and panel members score interview responses to arrive at a recruitment decision.</p> <p>Apprentice and Family Service recruitments are currently not managed through TAS. For all recruitment undertaken outside of TAS candidate evaluations should therefore be retained and sent to the appropriate HR Business Partner by the recruiting manager.</p> <p>We selected 15 Council starters from January-December 2017 to ensure that evaluation forms had been completed</p> <p>We found that:</p> <ul style="list-style-type: none"> - 8/15 (60%): Candidate evaluation forms had not been provided for our review at the date of the draft report - 1/15 (7%): Candidate evaluation forms were completed by the interview panel however had not been sent to HR for their records. <p>We also selected a further 4 starters within Family Services who were employed as part of the Recruitment Campaign. We found that 3/4 (75%) candidate evaluation was completed and sent to HR as expected. However:</p> <ul style="list-style-type: none"> - 1/4 (25%): Evaluation forms had not been provided for our review at the date of the draft report so Internal Audit were unable to confirm whether candidate evaluation forms were completed for this FS starter | | | <p><i>the process map will define the responsibility for the completion of the recruitment declaration form and the retention of the documentation relating to the evaluation and scoring (for instance, the candidates' evaluation forms). This is part of the Vacancy Filler recruitment system implementation which is underway and is due to be completed at the end of August. However, managers will still be responsible for retaining recruitment documentation.</i></p> <p>Responsible officer: Strategic HR Director, CSG</p> <p>Target date: End of September 2018</p> <p><u>Recruitment and Selection Training:</u></p> <p>d) <i>The Learning and Development Officer will build a segment into the quarterly Managerial recruitment & selection training to reiterate that all officers and panel members involved in a specific recruitment and selection process should formally declare/ confirm the absence of any close/family relationships.</i></p> <p>e) <i>Managers will not be involved in any stage of the recruitment and selection process if they do not attend the Recruitment and Selection training.</i></p> |

| Ref | Finding | Risks | Risk category | Agreed action | | | | | | | | |
|------------|--|------------------|-----------------------------------|---|----------------|--|--|--|--|--|----------------------|---|
| | <p>We also identified that there were no controls in HR to prompt the recruiting manager to submit the completed candidate evaluation/ scoring sheets where applicable.</p> <p><u>Policies and procedures</u></p> <p>There is an Interview Assessment Form available on the Intranet for referral to guide recruiting managers on scoring and assessment of interview candidates. Recruiting managers interviewed however were not aware of the form and the form was not used widely. The Council's "Recruitment and Selection" policy available on the Intranet also did not specifically refer to the Interview Assessment Form as we would have expected.</p> <p>General:</p> <p>Council management noted the need to consolidate, update and simplify the policy and guidance framework in relation to recruitment and onboarding, currently available on the Council's intranet.</p> | | | <p>Responsible officer:</p> <p>Strategic HR Lead</p> <p>Target date:</p> <p>20 September 2018</p> | | | | | | | | |
| 3 | <p><u>Evaluation: Performance Management (Operating Effectiveness):</u></p> <p><u>Non-Family Services (NFS)</u></p> <p>There were no formal targets for NFS recruitment.</p> <p><u>Evaluation Process timescale:</u></p> <p>We tested a combined total of 19 starters to identify the total amount of days it took from closing date of advert/ shortlisting date to the date conditional offer letter was sent to the new starter.</p> <p>Out of the 19 starters, we were able to retrieve information for only 10 and the results were as follows:</p> <table border="1" data-bbox="183 1316 963 1410"> <thead> <tr> <th data-bbox="183 1316 302 1410">Sample ref</th> <th data-bbox="302 1316 571 1410">Advert closing/ shortlisting date</th> <th data-bbox="571 1316 768 1410">Date conditional</th> <th data-bbox="768 1316 963 1410">Number of days</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> | Sample ref | Advert closing/ shortlisting date | Date conditional | Number of days | | | | | <p>If evaluation processes are not undertaken on a timely basis then there is a risk of lost opportunities to recruit the most suitable and competent candidates as they may secure employment elsewhere, of current and future substandard or sub-optimum service delivery and thus, a negative candidate experience leading to LBB not being perceived as an employer of choice.</p> | <p>Medium</p> | <p>a) CSG HR will capture performance data covering the end to end onboarding process for Non-Family Services recruitments and measure actual performance for a sample of starters to identify trends and take action where necessary.</p> <p><i>Note: We understand that this will be introduced alongside the introduction of the new e-recruitment system 'Vacancy Filler'.</i></p> <p>b) Onboarding performance measures for the KPI 'Time to Hire', e.g. target timescales for each stage of the process, will be introduced and</p> |
| Sample ref | Advert closing/ shortlisting date | Date conditional | Number of days | | | | | | | | | |
| | | | | | | | | | | | | |

| Ref | Finding | | | | Risks | Risk category | Agreed action |
|---|------------|------------|-------------------|--|-------|---------------|--|
| | | | offer letter sent | | | | <i>monitored to improve the recruitment process, end to end.</i> |
| 1 | 31/10/2016 | 30/11/2016 | 22 | | | | Responsible officer: Strategic HR Director |
| 2 | 23/10/2017 | 01/11/2017 | 7 | | | | Target date: TBC- depends on contract negotiations |
| 3 | 21/10/2016 | 09/01/2017 | 53 | | | | |
| 4 | 04/06/2017 | 26/07/2017 | 37 | | | | |
| 5 | 30/05/2017 | 29/06/2017 | 22 | | | | |
| 6 | 04/11/2016 | 02/12/2016 | 20 | | | | |
| 7 | 09/10/2017 | 31/10/2017 | 16 | | | | |
| 8 | 09/10/2017 | 10/11/2017 | 24 | | | | |
| 9 | 05/10/2017 | 20/10/2017 | 11 | | | | |
| 10 | 10/10/2017 | 08/12/2017 | 43 | | | | |
| <p>In accordance with the Non- Standard Indicator, derived from the Recruitment Project Brief used by Family Services, an average of 8 days should be taken from advert closing/ shortlisting date to the day conditional offer (evaluation process) is sent. Only 1 (10%) out of the 10 starters' evaluation process met this criterion.</p> <p><i>While delays may be attributable to areas of the HR process which are the responsibility of Council staff, Internal Audit's view is that CSG has some responsibility for ensuring the smooth running of the HR process end to end and that introduction of related performance measures may support improvements in the recruitment process, end to end.</i></p> <p>The latest outturn (Q2 of 17/18) of the HR Output Specification 'All HR KPI 19' – 'User satisfaction with HR Service' had failed,</p> | | | | | | | |

| Ref | Finding | Risks | Risk category | Agreed action |
|-----|--|---|----------------------|--|
| | confirming in our view the need to strengthen the performance management of the HR service. | | | |
| 4. | <p><u>Pre- employment checks (Operating Effectiveness)</u></p> <p>Once a candidate is selected, a Conditional/Provisional Offer letter is sent to them. The offer is subject to the receipt of various pre-employment checks that are relevant to their job role, so according to the Council's Pre-employment check and references policy, checks include:</p> <ul style="list-style-type: none"> - Disclosure and Barring Service (DBS) - Right to Work - Identity (ID) - Health and Mental Fitness - Eligibility - References - Qualifications (such as Health & Care Professions Council registration for social workers) <p>The Council is required to see original documents and retain copies of various documents such as photo IDs and proof of address. Copies of each document should be signed and dated by the relevant HR staff member to state that originals were seen.</p> <p>This audit specifically focused on ID checks, DBS and reference checks.</p> <p>We selected 15 Council starters from January - December 2017 to ensure that the above pre-employment checks had been completed. We found that:</p> <ul style="list-style-type: none"> - For 2/15 (13%) starters: Copies of relevant documents were retained by HR however confirmation of having inspected original documents and the date inspected were not recorded. - For 2/15 (13%) starters: Proof of ID Checks and references has not been provided for our review at the date of the draft report. | <p><i>If retained copies of documents are not individually date/ time stamped by a staff member of HR, then there is a risk that the he/ she did not see the original documents, leading to the possibility of candidates using fraudulent documents (such as qualification certificates) to secure employment at the Council.</i></p> | <p>Medium</p> | <p>a) CSG HR will instruct staff to sign and date starter identification documentation to confirm that the original documents had been inspected and the date of the inspection for referral where necessary.</p> <p>b) CSG HR will confirm that the proof of identification checks and references have been completed for the 2 starters that had not been provided at the date of the draft report.</p> <p>Responsible officer: Strategic HR Director</p> <p>Target date: We believe we have already implemented this but will follow up and confirm by Mid July</p> |

| Ref | Finding | Risks | Risk category | Agreed action |
|-----|---|-------|---------------|---------------|
| | <p><u>Performance measures: Timeliness of pre-employment checks:</u></p> <p>We calculated the time it took from Conditional offer to start date for 15 non-Family Services starters. We found that:</p> <ul style="list-style-type: none"> - 1/15 (7%) starter: Starter commenced work 78 days after conditional offer was sent even when all the pre-employment checks were undertaken on time. This exceeds the 60-day target required for Family Services starters. This example was where an individual was on 3 months' notice. - 3/15 (20%) starters: Data to calculate the actual timeframes from conditional offer to start was not available for calculation. <p>Our checks for Family Services timeframes confirmed that the 60-day target was achieved for 4/4 (100%) starters.</p> <p>Monthly reports in regards with CSG HR meeting the 60- day recruitment target criterion is sent by Lucy Bailey (CSG HR Operations Director) to Yogita Popat (Quality Improvement Manager), to claim the £250 fee, per new starter in FS.</p> | | | |

Appendix 1: Definition of risk categories and assurance levels in the Executive Summary

| Risk rating | |
|---|--|
| Critical  | <p>Immediate and significant action required. A finding that could cause:</p> <ul style="list-style-type: none"> Life threatening or multiple serious injuries or prolonged work place stress. Severe impact on morale & service performance (e.g. mass strike actions); or Critical impact on the reputation or brand of the organisation which could threaten its future viability. Intense political and media scrutiny (i.e. front-page headlines, TV). Possible criminal or high profile civil action against the Council, members or officers; or Cessation of core activities, strategies not consistent with government's agenda, trends show service is degraded. Failure of major projects, elected Members & Senior Directors are required to intervene; or Major financial loss, significant increase on project budget/cost. Statutory intervention triggered. Impact the whole Council. Critical breach in laws and regulations that could result in material fines or consequences. |
| High  | <p>Action required promptly and to commence as soon as practicable where significant changes are necessary. A finding that could cause:</p> <ul style="list-style-type: none"> Serious injuries or stressful experience requiring medical many workdays lost. Major impact on morale & performance of staff; or Significant impact on the reputation or brand of the organisation. Scrutiny required by external agencies, inspectorates, regulators etc. Unfavourable external media coverage. Noticeable impact on public opinion; or Significant disruption of core activities. Key targets missed, some services compromised. Management action required to overcome medium-term difficulties; or High financial loss, significant increase on project budget/cost. Service budgets exceeded. Significant breach in laws and regulations resulting in significant fines and consequences. |
| Medium  | <p>A finding that could cause:</p> <ul style="list-style-type: none"> Injuries or stress level requiring some medical treatment, potentially some workdays lost. Some impact on morale & performance of staff; or Moderate impact on the reputation or brand of the organisation. Scrutiny required by internal committees or internal audit to prevent escalation. Probable limited unfavourable media coverage; or Significant short-term disruption of non-core activities. Standing orders occasionally not complied with, or services do not fully meet needs. Service action will be required; or Medium financial loss, small increase on project budget/cost. Handled within the team. Moderate breach in laws and regulations resulting in fines and consequences. |
| Low  | <p>A finding that could cause:</p> <ul style="list-style-type: none"> Minor injuries or stress with no workdays lost or minimal medical treatment, no impact on staff morale; or Minor impact on the reputation of the organisation; or Minor errors in systems/operations or processes requiring action or minor delay without impact on overall schedule; or Handled within normal day to day routines; or Minimal financial loss, minimal effect on project budget/cost. |
| Level of assurance | |
| Substantial  | <p>There is a sound control environment with risks to key service objectives being reasonably managed. Any deficiencies identified are not cause for major concern. Recommendations will normally only be Advice and Best Practice.</p> |
| Reasonable  | <p>An adequate control framework is in place but there are weaknesses which may put some service objectives at risk. There are Medium priority recommendations indicating weaknesses but these do not undermine the system's overall integrity. Any Critical recommendation will prevent this assessment, and any High recommendations would need to be mitigated by significant strengths elsewhere.</p> |
| Limited  | <p>There are a number of significant control weaknesses which could put the achievement of key service objectives at risk and result in error, fraud, loss or reputational damage. There are High recommendations indicating significant failings. Any Critical recommendations would need to be mitigated by significant strengths elsewhere.</p> |
| No  | <p>There are fundamental weaknesses in the control environment which jeopardise the achievement of key service objectives and could lead to significant risk of error, fraud, loss or reputational damage being suffered.</p> |

Appendix 2 – Analysis of findings

| Area | Critical | | High | | Medium | | Low | | Total |
|--|----------|----|------|----|--------|----|-----|----|-------|
| | D | OE | D | OE | D | OE | D | OE | |
| Role definition and publication | - | - | - | - | - | - | - | - | - |
| Evaluation process | - | - | - | - | - | 1 | - | - | 1 |
| Pre- employment and role specific checks | - | - | - | - | - | 1 | - | - | 1 |
| New starter set up | - | - | - | - | - | - | - | - | - |
| New starter induction | - | - | - | 1 | - | - | - | - | 1 |
| Performance management | | | | | - | 1 | | | 1 |
| Total | - | - | - | 1 | - | 3 | - | - | 4 |

Key:

- Control Design Issue (D) – There is no control in place or the design of the control in place is not sufficient to mitigate the potential risks in this area.
- Operating Effectiveness Issue (OE) – Control design is adequate; however, the control is not operating as intended resulting in potential risks arising in this area.

| Timetable | | | | | |
|--|--|--|---|--|---|
| Terms of reference agreed: 26th January 2018 | Fieldwork commenced: 5 th February 2018 | Fieldwork completed: 26 April 2018 | Draft report issued: 30 May 2018; 18 June 2018 | Management comments received: 22 June 2018 and 3 July 2018 | Final report issued: 6 July 2018 |

Appendix 3 – Identified controls

| Area | Objective | Risks | Identified Controls |
|---|---|--|---|
| <p>Role definition and publication</p> | <p>The role requirements are correctly defined and the appropriate channels for vacancy marketing are used to ensure optimum outreach to increase the response rates from the most suitable potential candidates. Role definition and publication are undertaken within defined / agreed time scales to expedite completion of the recruitment process.</p> | <p>If the council fails to:</p> <ul style="list-style-type: none"> - identify the role requirements correctly - advertise the role via the most appropriate and relevant channels <p>then there is a risk that the most suitable candidate may not be attracted and recruited leading to sub-optimal delivery and potential over reliance on temporary staff and financial loss.</p> <p>If key recruitments tasks are not completed in a timely fashion then there is a risk of on-going substandard/sub-optimum service delivery and general management frustration/discontent while the post remains vacant.</p> | <ol style="list-style-type: none"> 1. For council staff - when the department identifies a need for hiring for a role, the manager will liaise with CSG HR. The manager will ensure that there is a job description that is up to date (when needed, HR can assist with this). 2. The recruiting manager uses the TAS system to fill in various fields relating to the vacancy. Once all details regarding the advertisement of the vacancy is inputted by TAS, it will have to be approved by the: Senior Management Finance Human Resources <p>And in that specific order as the approval from one, triggers the workflow to the next. Where TAS is not used, the S.M / Finance approval is received prior to completing the starter form to HR.</p> <ol style="list-style-type: none"> 3. Family Services previously used TAS, however, they now advertise through their own Family Services website. FS Team liaise with HR who work alongside. 4. CSR HR advertises the vacancy on a variety of websites- also with the help of TMP (advertisement company) and other specialist recruitment agencies. |

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| <p>Evaluation</p> | <p>There is an independent process. All conflicts of interest during interviews/selection are declared and taken into account to avoid bias. Council management undertakes the evaluation of candidates promptly in line with agreed timescales to expedite completion of the recruitment process</p> | <p>If the interview and selection process is biased, then the process will fail to identify the most suitable candidate, thereby selecting a candidate with sub-optimal skill sets for the role.</p> | <ol style="list-style-type: none"> 1. For Non-FS, all applications are received by HR Belfast and forwarded to managers to shortlist. Once shortlisted, the candidates are invited to the interview. For FS, all applications are received by HR Barnet via a mailbox. The managers are sent the applications to shortlist. 2. The interview panel members are required to sign a recruitment declaration form to state that they have no form of relationship either past or present, or is a close relative, friend or acquaintance of the candidate. 3. During the interview, candidate evaluation forms are completed. The candidates are evaluated on a scoring basis. The candidate with the highest score is selected. This is then uploaded onto TAS, and where TAS is not used, it is sent to CSG HR to be retained. (Of 7/15 cases tested, evaluation forms had been completed and were retained/held in TAS) 4. A Recruitment and New starter process document is available for FS to ensure that all processes are undertaken within set timelines. |
| <p>Pre-employment and role specific checks</p> | <p>All required role specific pre-employment checks are undertaken, for example, DBS and HCPC checks where necessary as well as reference checks. Any delays in response of these checks are followed up by responsible members of HR staff. Related checks are completed in agreed timeframes.</p> | <p>If pre-employment and role specific checks are not undertaken, then there is a risk that the most competent staff will not be recruited leading to sub-optimal delivery, non-adherence to policies and procedures, harm, and financial loss.</p> | <ol style="list-style-type: none"> 1. Conditional offer letter is sent to the candidate, stating that the offer is subject to pre-employment checks 2. Information on medical checks are sent along with the conditional offer letter, along with list of documentation the candidate needs to present before the Council. 3. Certain documents are copied and retained after HR identifies the originals. 4. Copies are signed and dated to confirm that originals were seen by the HR member of staff. |

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| | | | <ol style="list-style-type: none"> 5. All relevant documents are copied and relevant prior to applying for a DBS check. 6. DBS checks are undertaken either in standard or enhanced form, depending on the level required for the role. 7. Requests for references are sent to two previous employers. 8. All HCPC certificates are identified. Checks are also done via the HCPC website to ensure that the registration status is valid. |
| <p>New starter set up</p> | <p>New starters are given the appropriate access to the Council resources promptly, including systems and physical access, for example the required information relating to laptop, telephone, system log in and building access is communicated to appropriate personnel/department (via a single point of coordination). Defined contractual timeframes for new starter set up are achieved.</p> | <p>If new starters are not set-up promptly in line with timeframes and correctly in their working environment, then there is a risk:</p> <ul style="list-style-type: none"> - Of delayed and sub-optimal service delivery and financial loss due to inefficiency. <p>Of loss of capable staff and in the long term of Barnet Council not being considered an ‘employer of choice’ compromising future recruitment exercises through not being regarded as professional in their approach to recruitment.</p> | <ol style="list-style-type: none"> 1. Manager logs a call on the IT self-service system to set up required equipment and log ins for the starter. 2. Manager ensures that any delays are followed up appropriately. 3. On the first day, starter has all equipment and log ins set up and ready to use. <p>There are set-up performance measures for Family Services to drive timely IT set-up.</p> |

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| <p>New starter induction</p> | <p>All starters are inducted correctly and promptly into the organisation by line managers. Starters attend the appropriate corporate training.</p> <p>Local and corporate induction training attendance is recorded and monitored and non-attendance is followed up by the line manager</p> | <p>If starters are not inducted properly within set timeframes then there is a risk that the starter may not understand and comply with the Council's policies, processes and practices, statutory requirements thereby failing to become fully competent in to their jobs and the working environment at the earliest stage.</p> <p>If new starters are not properly inducted then this could give rise to underperformance resulting in dismissals or capability processes which can be time consuming, costly and have a negative impact on service delivery.</p> | <ol style="list-style-type: none"> 1. Information of all new starters are effectively passed onto the training provider. 2. Training provider ensures that all starters are invited to attend induction. 3. Attendance sheets are present on the day for attendees to sign. 4. Attendance sheets are examined to identify non-attendance. This is later alerted to the relevant line managers. 5. Line managers ensure that starters attended induction without delay. |
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Appendix 4 – Internal Audit roles and responsibilities

Limitations inherent to the internal auditor's work

We have undertaken the review of *Onboarding Process*, subject to the limitations outlined below.

Internal control

Internal control systems, no matter how well designed and operated, are affected by inherent limitations. These include the possibility of poor judgment in decision-making, human error, control processes being deliberately circumvented by employees and others, management overriding controls and the occurrence of unforeseeable circumstances.

Specifically, we will not:

The audit will not cover the onboarding process for new starters at Schools nor will it review arrangements relating to the implementation of the new recruitment system which is due to be introduced in early 2018/19.

Our assessment of controls is for the period specified only. Historic evaluation of effectiveness is not relevant to future periods due to the risk that:

- the design of controls may become inadequate because of changes in operating environment, law, regulation or other; or
- the degree of compliance with policies and procedures may deteriorate.

Responsibilities of management and internal auditors

It is management's responsibility to develop and maintain sound systems of risk management, internal control and governance and for the prevention and detection of irregularities and fraud. Internal audit work should not be seen as a substitute for management's responsibilities for the design and operation of these systems.

We endeavour to plan our work so that we have a reasonable expectation of detecting significant control weaknesses and, if detected, we shall carry out additional work directed towards identification of consequent fraud or other irregularities. However, internal audit procedures alone, even when carried out with due professional care, do not guarantee that fraud will be detected.

Accordingly, our examinations as internal auditors should not be relied upon solely to disclose fraud, defalcations or other irregularities which may exist.