



# THE CHIEF CONSTABLE OF NORTH YORKSHIRE

**Human Resources: Recruitment**

**REVISED FINAL**

**Internal Audit Report: 2.17/18**

**10 November 2017**

This report is solely for the use of the persons to whom it is addressed.  
To the fullest extent permitted by law, RSM Risk Assurance Services LLP  
will accept no responsibility or liability in respect of this report to any other party.



# CONTENTS

1 Executive summary .....	2
2 Detailed findings .....	5
Appendix A: Scope .....	14
Appendix B: Further information.....	16
For further information contact .....	17

<b>Debrief held</b>	26 July 2017	<b>Internal audit team</b>	Dan Harris, Head of Internal Audit Angela Ward, Senior Manager Philip Church, Client Manager Eddie Ndhlovu, Senior Auditor
<b>Draft report issued</b>	9 August 2017		
<b>Responses received</b>	30 August 2017 1, 8 and 26 September 2017		
<b>Final report issued</b>	8 September 2017	<b>Client sponsor</b>	Deputy Chief Constable Head of Human Resources and Training Human Resources Manager
<b>Revised final issue</b>	3 October 2017 31 October 2017 2 November 2017 10 November 2017		
		<b>Distribution</b>	Deputy Chief Constable Head of Human Resources and Training Human Resources Manager T/ Talent and Resourcing Consultant

As a practising member firm of the Institute of Chartered Accountants in England and Wales (ICAEW), we are subject to its ethical and other professional requirements which are detailed at <http://www.icaew.com/en/members/regulations-standards-and-guidance>.

The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Recommendations for improvements should be assessed by you for their full impact before they are implemented. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

This report is solely for the use of the persons to whom it is addressed and for the purposes set out herein. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM Risk Assurance Services LLP for any purpose or in any context. Any third party which obtains access to this report or a copy and chooses to rely on it (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report. This report is released to you on the basis that it shall not be copied, referred to or disclosed, in whole or in part (save as otherwise permitted by agreed written terms), without our prior written consent. We have no responsibility to update this report for events and circumstances occurring after the date of this report.

RSM Risk Assurance Services LLP is a limited liability partnership registered in England and Wales no. OC389499 at 6th floor, 25 Farringdon Street, London EC4A 4AB

# 1 EXECUTIVE SUMMARY

## 1.1 Background

An audit of Human Resources (HR): Recruitment was undertaken as part of the approved internal audit periodic plan for 2017 / 2018.

Recruitment at North Yorkshire Police (thereafter the Force) is conducted by two teams: Talent and Resourcing and HR Client Services (HRCS). The Talent and Resourcing team are responsible for volume campaign recruitment and senior hires; HRCS are responsible for ad hoc police staff recruitment in addition to their duties as first line HR Transactional Services Support. The HR department have responsibility in conjunction with hiring managers for the selection and recruitment of individuals in a fair, objective and consistent fashion. The Talent and Resourcing and HR Client Services teams highlight there had been a significant growth in demand and recruitment that was met without prior planning or forecast. That demand was met immediately and within the constraints of limited resource. There were occasions when the SLA was relaxed at key times of HR operational transition in discussion with the business areas.

Requests to fill vacancies are currently commissioned to the HR teams through two separate and distinct channels: either as targeted programmed action as part of the agreed Workforce Plan or through individual vacancy authorisation forms or a 'Vacancy Management Form' (VMF) which is the agreed vehicle for capturing and recording the approval by the respective Chief Finance Officers. VMFs are automated and are raised in the first instance by the hiring manager via the HR People Portal on the Force intranet before being sent to their local HR Adviser for approval. Further approval is then sought by a member of the finance team and the respective Chief Finance Officer as part of a weekly Establishment Planning Group (EPG) meeting structure. The role of the EPG is to review, challenge and probe vacancies being requested to fill vacancies, budgeted or otherwise, including temporary and agency before advertisement. The EPG typically comprises the Chief Constable's Chief Finance Officer and Talent and Resourcing Advisor.

They were approximately 666 new appointments in the 2016 / 2017 financial year which included recruitment into NYP, internal moves, promotions and agency staff, police cadets, specials and volunteers. There were a reported 134 permanent new starters at quarter four 2016/17 financial year. The HR team use the World Careers Network (WCN) for the purposes of managing vacancies and keeping candidates informed of the process through automated application to hiring processes.

## 1.2 Conclusion

In line with the agreed scope of the audit (reference Appendix A) a dip sample was independently selected which included 15 VMFs which resulted in 15 new starters, from the new starters list, and 10 agency new starters representing six per cent of total records and out of these the following management actions were highlighted warranting review:

- The strict VMF authorisation process hinders the ability for HR to be agile and engaged on a 'real time' basis in supporting the business in vacancy management services. Additionally, our review identified that the current reporting of the Service Level Agreement (SLA) from advert date as agreed to conditional offer date was contrary to the originally agreed SLA of VMF EPG approval date to conditional offer date. Discussion with the HR team has identified the vacancy tracking is currently split across two different systems: SharePoint and WCN which would require manual intervention for 'vacancy authority' details to be captured in the current system for SLA reporting. Work is underway to explore how this may be achieved within the functional capabilities of either system or whether some software changes will be required. In the intervening period, the HR team have presented the KPI, on a restricted basis, in line with the above reporting limitations to key meetings, as required. **(High)**

- We identified that there was no proactive engagement between the HR team and the hiring manager for the majority of the vacancies, prior to the VMF being completed, demonstrated by an average of 15 working days between EPG approval and the advertisement of the vacancies. **(Medium)**
- We identified from our testing that the process from VMF submission was delayed by the interdependence of process with the Finance Department and found there were opportunities for streamlining the process in support of HR's recommendations for change to the Chief Constable's Chief Finance Officer. Out of the 15 VMFs tested we identified none had been fully completed to include all the information detailed within the VMF form which therefore may have impacted on work commissioning to HR. **(Medium)**
- Testing of 15 new starters identified two instances where the medical clearances, granted by the Occupational Health Department, could not be evidenced at the time of audit. We also noted that in three instances where it had taken between six and eight working days to submit a vetting form from the point when the candidate was given a conditional offer. **(Medium)**
- Testing of the 10 agency staff identified that the average number of days from the vacancy order date to start date was 63 working days.

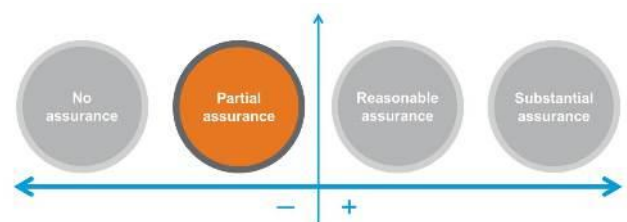
We identified two instances out of a sample of 10 agency appointments where the time taken was in excess of 120 working days.

Furthermore, we noted that at the time of the audit, the Agency were not subject to regular account meetings because the Agency did not have a dedicated account manager for nine months. Following the appointment of a new account manager by the Agency, the HR team have confirmed that the Agency is now under a formal performance management plan. **(Medium)**

- We identified a lack of a standardised approach in the advertising of vacancies including the use of job cards / advertising strategies which was in part as a result of hiring manager decisions and the administrative nature of the recruitment teams. It is worth noting a Change Proposal has been agreed which will support ambitions around addressing this capability. **(Medium)**

**Internal audit opinion:**

Taking account of the issues identified, the **Chief Constable of North Yorkshire** can take **partial assurance** that the controls to manage this area are suitably designed and consistently applied. Action is needed to strengthen the control framework to manage the identified area.



### 1.3 Key findings

The key findings from this review are as follows:

- Our review noted that the Recruitment team evidenced a clear plan to move towards a modern talent acquisition model. This includes enhancing the candidate experience and the capability of hiring managers and recruiters alike to achieve a best practice recruitment experience. The model addresses many projects, including but not limited to addressing under representation across the Force which included women and people from Black and Minority Ethnicity.
- We also noted that the HR team had signed up to the Good Recruitment Charter (GRC) and have applied for a peer review. Being part of the GRC will ensure that there is opportunity to share good practise across different organisations in all sectors.
- Review of the May and June 2017 minutes confirmed that there was a Positive Action Group in place to drive diversity in recruitment.
- Testing of 15 new starters confirmed that they had each been subject to vetting and evidence had been filed in their personnel files.
- Testing of 15 vacancy listings during July 2016 to June 2017 confirmed that there was evidence of shortlisting against the required criteria and evidence of the interview notes detailing rationale for the candidates offered the position.
- Testing of five recruitment campaigns confirmed that each had a recruitment activity timetable or action plan in place which had been adhered to with timescales clearly discussed and agreed.

### 1.4 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The detailed findings section lists the specific actions agreed with management to implement.

Area	Control design not effective*		Non Compliance with controls*		Agreed actions		
	Low	Medium	High	Low	Medium	High	
HR Recruitment	2	(11)	4	(11)	0	5	1
<b>Total</b>	<b>0</b>	<b>5</b>	<b>1</b>				

\* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

## 2 DETAILED FINDINGS

### Categorisation of internal audit findings

Priority	Definition
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible regulatory scrutiny/reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, regulatory scrutiny, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness or examples of lapses identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
-----	---------	----------------------------------	---------------------------------	---------------------------------	----------	-----------------------

#### Area: Recruitment

1	Whenever a vacancy arises, the hiring manager will complete an electronic form which is then sent to a HR representative via built in workflows for approval within a Microsoft SharePoint system. VMF enables the manager to complete the following: <ul style="list-style-type: none"> <li>Post title</li> </ul>	No	-	<p>Our review and testing of 15 sample vacancies identified that in all the cases tested, the VMF had not been fully completed by the hiring manager at the initial stage. Missing information included:</p> <ul style="list-style-type: none"> <li>Whether the role profile was up to date; and</li> <li>The essential criteria on the application forms which are used to assess the candidates.</li> </ul> <p>When a VMF was approved by EPG, there were five cases when more than 10 working days elapsed before the advert was placed. Our testing identified that the time taken from EPG approval to the date of vacancy advert was on average 15 working days, with three instances that had</p>	Medium	<p>The recommendations in the change proposal will address the following points raised:</p> <ul style="list-style-type: none"> <li>A structured and consultative engagement between the recruiter and the hiring manager before the</li> </ul>
---	--	----	---	--	--------	--

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management				
	<ul style="list-style-type: none"> <li>Departments</li> <li>Employer</li> <li>Role profile</li> </ul> <p>Once the form has been approved by the HR representative this is sent to a member of the Finance team where it is reviewed and checked to ensure there is budget resource available prior to EPG submission.</p>			<p>taken 23, 31 and 71 working days. We also identified instances when the advert had been placed on the same day or within three working days.</p> <p>We also noted that the current VMF did not have mandatory fields which allowed the form to be submitted without the essential information required to advertise the post.</p> <p>We noted that the administrative nature of the recruitment process did not lend itself to a consultative engagement between the recruitment teams and hiring managers before a VMF was submitted. Thus, the recruiters did not have all the requisite information beforehand thereby increasing the time it took to advertise a vacancy.</p> <table border="1"> <thead> <tr> <th>Risk Exposure</th> <th>Root causes</th> </tr> </thead> <tbody> <tr> <td>There is a risk of untimely recruitment leading to a skills gap.</td> <td> <p>Current process prevents engagement between the recruiters and the hiring managers before a VMF has been submitted.</p> <p>The lack of a formal process for agreeing the recruitment strategy for each vacancy where appropriate. <b>(Management action two)</b></p> <p>Failure to have a process of ensuring that the most effective advertising route is always taken. <b>(Management action three)</b></p> <p>The advertising contract is due for re-tender in October and</p> </td> </tr> </tbody> </table>	Risk Exposure	Root causes	There is a risk of untimely recruitment leading to a skills gap.	<p>Current process prevents engagement between the recruiters and the hiring managers before a VMF has been submitted.</p> <p>The lack of a formal process for agreeing the recruitment strategy for each vacancy where appropriate. <b>(Management action two)</b></p> <p>Failure to have a process of ensuring that the most effective advertising route is always taken. <b>(Management action three)</b></p> <p>The advertising contract is due for re-tender in October and</p>		<p>commissioning stage.</p> <ul style="list-style-type: none"> <li>A review of the responsibilities of colleagues within the HR team will be undertaken as part of the change management process.</li> <li>Business area role profiles will be reviewed and brought up to date as part of action underway with a Skills Working Group.</li> <li>The VMF process will be re-considered, especially, with regards to obtaining all the mandatory information in the first instance.</li> <li>Advertising re-tender is already in Service Delivery Plan for 2017/18.</li> </ul>
Risk Exposure	Root causes									
There is a risk of untimely recruitment leading to a skills gap.	<p>Current process prevents engagement between the recruiters and the hiring managers before a VMF has been submitted.</p> <p>The lack of a formal process for agreeing the recruitment strategy for each vacancy where appropriate. <b>(Management action two)</b></p> <p>Failure to have a process of ensuring that the most effective advertising route is always taken. <b>(Management action three)</b></p> <p>The advertising contract is due for re-tender in October and</p>									

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management												
				<p>there is an appetite to review the service.</p> <p>Labour intensive process.</p> <p>The lack of a forward planning in ensuring each process is done in a timely manner. <b>(Management action six)</b></p> <table border="1"> <thead> <tr> <th>Probability</th> <th>Financial</th> <th>Reputational</th> <th>Operational</th> <th>Legal</th> <th>Rating</th> </tr> </thead> <tbody> <tr> <td>Probable</td> <td>Negligible</td> <td>Negligible</td> <td>Minor</td> <td>Negligible</td> <td>5:8</td> </tr> </tbody> </table>	Probability	Financial	Reputational	Operational	Legal	Rating	Probable	Negligible	Negligible	Minor	Negligible	5:8		<p><b>Responsible officers:</b> HR Manager and Senior Human Resources Manager</p> <p><b>Implementation date:</b> 30<sup>th</sup> September 2018</p>
Probability	Financial	Reputational	Operational	Legal	Rating													
Probable	Negligible	Negligible	Minor	Negligible	5:8													
2	Once the vacancy has been approved by Finance it is then sent back to HR where the VMF is printed off for review by the EPG. The EPG is a meeting between a HR representative and the Chief Finance Officer.	No	-	<p>Testing of 15 vacancies identified the following:</p> <ul style="list-style-type: none"> <li>The average number of working days it took from VMF submission to HR approval was three working days. Within the sample, one instance had taken 22 working days to be approved and another instance had taken 11 working days. However, in most instances the number of working days was between zero and five working days.</li> <li>VMF approval from HR to Finance had taken on average two working days, with the longest wait in one instance being six working days.</li> <li>VMF approval from Finance to EPG had taken on average of four working days, with the longest wait being 16 working days. They were also two instances where the wait was nine working days in one and seven working days in the other. We noted that the delays in approving VMFs at the EPG stage were due to the forms not being accurately completed, incomplete and / or the lack of identified funding for the vacancies being provided.</li> </ul>	Medium	<p>A review of the VMF approval process of is already underway and will consider:</p> <ul style="list-style-type: none"> <li>Swifter approval of vacancies where the vacancies involve a straight replacement.</li> <li>The approval of VMFs by the EPG on an exceptional basis or at the Finance approval stage by the Chief Finance Officer.</li> </ul>												
	<p>All forms are subject to EPG review which is undertaken each week.</p> <p>Following EPG approval and communications of decisions made, the vacancy is then commissioned to the HR</p>																	



Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
	team and uploaded to the recruitment and advertising stage.			<ul style="list-style-type: none"> <li>The leaver process was not directly linked to the hiring of new staff. Of the 15 vacancy listings tested in only three instances was the previous post holder / leaver details completed.</li> </ul> <p>It was therefore noted from the testing, there was considerable amount of time taken from the VMF approval by the EPG and advertisement due to delays associated with the interdependence of processes.</p> <p><b>(See management action one for risk exposure).</b></p>		<ul style="list-style-type: none"> <li>Agree the process for processing leavers to ensure that this linked to recruitment.</li> </ul> <p><b>Responsible officers:</b> HR Manager and Senior Human Resources Manager</p> <p><b>Implementation date:</b> 30<sup>th</sup> September 2018</p>
3	Once the VMF has been approved by the EPG, this is sent to a HR representative who then assigns the vacancy to the HR Client Services team. The VMF details whether it is an internal or external recruitment exercise as this ultimately decides the type of recruitment exercise to be applied.	Yes	No	<p>We identified through interviews with the recruiting administrators and noted that that there was not a consistent approach to advertising. We noted that there was no overarching marketing / advertising strategy in place in some cases. We confirmed with staff that an employer brand proposal is in development. However bespoke strategies and plans are evident and agreed for key roles and for every volume campaign, i.e. PCSOs, Student Officers and specialist IT campaigns etc. and marketing plans are shared and replicated where appropriate.</p> <p>A marketing strategy would ensure that a consistent approach is applied when advertising vacancies thereby reducing time, effort and the cost associated with searching for different routes of advertising.</p> <p>We also noted that although discussions took place with the hiring managers in relation to agreement of keys dates, role profiles, essential criteria and the advertising route to be taken this was not documented on a job card / plan. Therefore, in some cases it was difficult to obtain evidence to support the reasons for some of the delays experienced during the</p>	Medium	<p>Management will:</p> <p>Implement a process by which a formal job card is created agreeing all the key dates including the marketing strategy to be applied. Implement a more customer focussed environment whereby guidelines are provided alongside recruiter and hiring manager up-skilling. This would be supported by an overarching formally documented marketing strategy with tiered options which would ensure that the most</p>
	The relevant recruiter / HR Client Services Administrator will upon receipt of the commission discuss and agree the advertising strategy with					

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
	<p>the hiring manager, which will involve the following depending on the role:</p> <ul style="list-style-type: none"> <li>• Consultation with the marketing services supplier;</li> <li>• Expert advice sought from a Talent and Resourcing Advisor who are more senior and experienced advisors;</li> <li>• Consideration of Past campaign performance indicators;</li> <li>• Considering the suggestions of the hiring manager given their knowledge of professional bodies / institutions; and</li> <li>• The recruiting administrator's own professional assessment of the options available which may involve a</li> </ul>			<p>process of marketing the jobs. <b>(See management action one for risk exposure).</b></p>		<p>effective form of advertising is utilised.</p> <p>This will be supported by the approach to a new advertising contract as this is due to re-tender.</p> <p><b>Responsible officers:</b> HR Manager and Senior Human Resources Manager</p> <p><b>Implementation date:</b> 30<sup>th</sup> September 2018</p>

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management						
	commission to the Agency.											
4	<p>The Force has in place a contract with an external Agency.</p> <p>Agency staff are used for temporary and critical skills hiring as a way of fulfilling an urgent need or capability gap in the business.</p>	Yes	No	<p>At the time of the audit, we were unable to obtain and review the agency contract from Regional Procurement to ensure that the terms and conditions set out were adhered to.</p> <p>Testing of 10 agency staff identified the following:</p> <ul style="list-style-type: none"> <li>The average time it took from the date a vacancy was requested to start date of the staff was 63 working day (including vetting SLA timeframes of 37 days). This was considered significant for agency staff and will feature part of the performance management activities with the Agency.</li> <li>There were two instances where the time taken from the order date to the start date was more than 120 working days. In addition, we identified one instance when the timeframe was 26 days and further three instances when the time period was less than 40 days.</li> <li>An assigned account manager from Agency was not in place to meet the needs of the organisation as per the agreed contract.</li> <li>Further testing of four agency staff identified two instances where we were unable to obtain evidence of the rationale for the hire.</li> </ul>	Medium	<p>Management will:</p> <ul style="list-style-type: none"> <li>Review the agency contract when it is due for renewal.</li> <li>Going forward the management of the agency contract will be effectively managed by ensuring there is a dedicated account manager provided by the Agency at all times. This will be supported by the formal performance management as referred to in conclusion 1.2.</li> <li>The dip samples will be requested from internal audit for HR review and consideration whether management action is appropriate.</li> </ul>						
				<table border="1"> <thead> <tr> <th>Risk Exposure</th> <th>Root causes</th> </tr> </thead> <tbody> <tr> <td>There is a risk that the agency route for recruitment was inappropriately used.</td> <td>Lack of challenge and scrutiny.</td> </tr> <tr> <td>The failure to achieve value for</td> <td></td> </tr> </tbody> </table>	Risk Exposure	Root causes	There is a risk that the agency route for recruitment was inappropriately used.	Lack of challenge and scrutiny.	The failure to achieve value for			
Risk Exposure	Root causes											
There is a risk that the agency route for recruitment was inappropriately used.	Lack of challenge and scrutiny.											
The failure to achieve value for												

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management																		
				<table border="1"> <tr> <td colspan="6">money in the agency contract.</td> </tr> <tr> <th>Probability</th> <th>Financial</th> <th>Reputational</th> <th>Operational</th> <th>Legal</th> <th>Rating</th> </tr> <tr> <td>Probable</td> <td>Negligible</td> <td>Negligible</td> <td>Negligible</td> <td>Negligible</td> <td>6:4</td> </tr> </table>	money in the agency contract.						Probability	Financial	Reputational	Operational	Legal	Rating	Probable	Negligible	Negligible	Negligible	Negligible	6:4		<p><b>Responsible officers:</b> HR Manager and Senior Human Resources Manager</p> <p><b>Implementation date:</b> 31<sup>st</sup> March 2018</p>
money in the agency contract.																								
Probability	Financial	Reputational	Operational	Legal	Rating																			
Probable	Negligible	Negligible	Negligible	Negligible	6:4																			
5	There is a 30 working day Service Level Agreement (SLA) in place detailed in the Recruitment and Training Module procedures which looks at the number of days it takes for a vacancy following the approval of the VMF by the EPG to the point where a conditional offer is communicated with the candidates.	Yes	No	<p>We noted that agreed 30 working days SLA performance reported to the People Board was currently measured from the date of advert to the conditional offer date. We have been advised that this was entirely due to the absence of full automation of the full process and work volumes. We did however note that this was contrary to the agreed SLA of 30 days detailed within the Recruitment Training Module, which stated that the SLA was to be measured from the date of EPG approval to the conditional offer date. Further clarity around this anomaly indicated that the HR team are currently addressing this as part of their planned proposed WCN software developments.</p> <p>Taking this into account, we noted that the 2016 / 2017 quarter four figure reported to the People Board was 35 working days. However, we have identified through testing that the average time it took from the VMF EPG approval date to the vacancy advert date was approximately 15 working days thereby giving a combined total of 50 working days. It was noted through discussion with the Talent and Resourcing Advisor that WCN, in its current format, did not have a facility to add the date on which the VMF had been approved, therefore to be able to report on the SLA detailed in the Recruitment Training Module the process would require manual intervention.</p>	High	<p>The following will be undertaken:</p> <ul style="list-style-type: none"> <li>The SLA will be reviewed in conjunction with the HR team's HR Change Proposal outcomes and metric development work streams.</li> <li>Following agreement of the new commissioning process, a review of when the clock starts will be undertaken in consultation with the all relevant stakeholders.</li> <li>The WCN software providers will be</li> </ul>																		

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management																								
				<table border="1"> <thead> <tr> <th colspan="3">Risk Exposure</th> <th colspan="3">Root causes</th> </tr> </thead> <tbody> <tr> <td colspan="3">There is a risk of inaccurate information being reported through the governance structure leading to underlying issues not being addressed.</td> <td colspan="3">The lack of a facility within WCN to enable the metrics to be reported accurately.</td> </tr> <tr> <th>Probability</th> <th>Financial</th> <th>Reputational</th> <th>Operational</th> <th>Legal</th> <th>Rating</th> </tr> <tr> <td>Highly probable</td> <td>Negligible</td> <td>Negligible</td> <td>Significant</td> <td>Negligible</td> <td>2:14</td> </tr> </tbody> </table>	Risk Exposure			Root causes			There is a risk of inaccurate information being reported through the governance structure leading to underlying issues not being addressed.			The lack of a facility within WCN to enable the metrics to be reported accurately.			Probability	Financial	Reputational	Operational	Legal	Rating	Highly probable	Negligible	Negligible	Significant	Negligible	2:14		<p>consulted to ensure that there is a facility to include the EPG approval / agreed commissioning date.</p> <p><b>Responsible officers:</b> HR Manager and Senior Human Resources Manager</p> <p><b>Implementation date:</b> 30<sup>th</sup> September 2018</p>
Risk Exposure			Root causes																											
There is a risk of inaccurate information being reported through the governance structure leading to underlying issues not being addressed.			The lack of a facility within WCN to enable the metrics to be reported accurately.																											
Probability	Financial	Reputational	Operational	Legal	Rating																									
Highly probable	Negligible	Negligible	Significant	Negligible	2:14																									
6	When candidates are invited for selection assessment, they are sent a vetting pack to complete which they bring along to the assessment day. The recipient of the vetting packs will sign to evidence that the original identification documentation has been seen.  Once the candidate has accepted the job offer, the vetting forms are sent to the Vetting department. There is a 37.5 working day SLA starting from the submission of the vetting	Yes	No	<p>Testing of 15 new starters identified the following:</p> <ul style="list-style-type: none"> <li>In two instances, we could not find evidence of the medical clearance form.</li> <li>We identified that the average time it took to submit a vetting form was negative four days (-4). This was due to some of the candidates having their vetting undertaken prior to the conditional offer date to speed up the recruitment process. The highest number of working days was in eight in two cases and six in one instance.</li> <li>From the sample selected, we noted that it took an average of 16 working days to complete a vetting clearance with the highest being 39 working days, which had been the only instance to breach the 37.5 working day SLA.</li> </ul> <p>The average number of days between the conditional offer date and the start date was 42 working days. Adding the average number of days from the advert date to conditional offer date, which was 35 as at</p>	Medium	<p>Management will:</p> <ul style="list-style-type: none"> <li>The dip samples will be requested from internal audit for HR follow up to locate medical documentation and ensure that medical clearance is filed in personnel files.</li> <li>Agree and put in place an occupational health SLA.</li> <li>The dip samples will be requested from internal audit for HR</li> </ul>																								

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
	forms from the HR department.			2017 / 2018 quarter one, the average number of days from the advert to the start date was noted to be 77 working days.		review and consideration whether further action is appropriate.
	Medical clearance is sent to the candidate via email and the forms are returned to the HR department following review by the Occupational Health department.		<ul style="list-style-type: none"> <li>There was no formal SLA in place in relation to occupational health process.</li> </ul>	Taking into account the number of days from EPG approval to conditional offer date, which was an average of 52 days, this figure rose to a total estimated 94 days (five months). This therefore presented a significant amount of time taken to process the end-to-end recruitment.		<p><b>Responsible officers:</b> HR Manager and Senior Human Resources Manager</p> <p><b>Implementation date:</b> 30<sup>th</sup> September 2018</p>
	Employment references are usually sought after the vetting has been confirmed and the candidate has been cleared to work.			<b>(See management action one for risk exposure).</b>		

# APPENDIX A: SCOPE

The scope below is a copy of the original document issued.

## Scope of the review

The scope was planned to provide assurance on the controls and mitigations in place relating to the following area:

### Objectives of the area under review

To comprehensively review the recruitment and selection process to support the requirements of the Police and Crime Commissioner's Police and Crime Plan 2017-2021; specifically – Priority 4 as follows:

#### Objective 3:

As detailed in the Police and Crime Commissioner's Police and Crime Plan 2017-2021, under objective four, the Force 'will have a robust strategic plan that ensures we have the right people with the right skills in place at the right time.'

#### Objective 4

'HR processes will have been reviewed and updated to ensure customer service is central to recruitment to all roles, and assists in embedding customer service as a cornerstone of services provided by North Yorkshire Police.'

---

When planning the audit, the following areas for consideration and limitations were agreed:

### Areas for consideration:

Our review has focused on examining the efficiency and effectiveness of Recruitment Service Delivery to meet the changing demands of the organisation. This will therefore have covered end-to-end recruitment and selection processes exclusively from agreed commission to HR up to and including start date of employment / posting.

The review has considered the following key features:

- Evaluating the quality of the overall client commission in workforce planning and establishment control terms (e.g. Strategic Workforce Plan 2017 Version 9), to ensure accurate terms and conditions, role profiles and vacancy details were reflected in the advertising and selection practices and to also prevent excessive spend. It was also a requirement to assess the interdependent processes involved.
- Any risks identified either before or during the commissioning process were effectively managed by HR and the business area to finely balance operational needs and risk assessments.
- Effectiveness of the approaches to recruitment, advertising and recruiting agency sourcing and consequential HR action to monitor performance and respond flexibly as results were known.
- Consistency in application of recruitment and selection practices to demonstrate evidence of compliance with employment law and the Force's Recruitment, Selection and Appeals Procedure.
- Maintenance and reporting of the 30 working day Service Level Agreement and whether this should be reviewed.

- Completion of the pre-employment checks for security, medical, reference and sickness checks and whether these were completed in a consistent, complete and timely manner.
- We have considered how candidates are kept up-to-date, during the recruitment process and cognisant needs to be taken of the ambition to work towards the alignment of customer service initiatives such as Good Recruitment Charter, Talent Attraction through Social Media, Managing Diversity and Inclusion.

**Limitations to the scope of the audit assignment:**

- We have not confirmed the optimum recruitment and selection process has been followed.
- We have not reviewed the change management process and the implication on resource.
- We have not reviewed the budgeting process for pay expenditure.
- We have not confirmed whether policies and procedures are compliant with legislative or regulatory requirements.
- We have undertaken an assessment of the adequacy of selected aspects of the control framework and have undertaken limited testing to confirm their operation in practice.
- Testing has been completed on a sample basis.
- Our work does not provide absolute assurance that material errors, loss or fraud do not exist.



## APPENDIX B: FURTHER INFORMATION

### **Persons interviewed during the audit:**

- Head of Human Resources and Training
- Human Resources Manager
- Senior Human Resources Manager
- Talent and Resourcing Advisor
- Talent and Resourcing Advisor
- Human Resources Advisor
- Corporate Communications Officer
- Talent and Resourcing Officer
- Talent and Resourcing Officer
- Talent and Resourcing Officer
- HR Client Services Administrator

### **Documentation reviewed during the audit:**

- Recruitment, Selection and Appeals Procedure
- Sample of VMFs
- Shortlisting results
- Interview assessments
- Staff files
- Recruitment tracker
- WCN
- Positive Action Silver Group minutes
- People Board Agenda
- Recruitment metrics

## FOR FURTHER INFORMATION CONTACT

**Dan Harris, Head of Internal Audit**

Tel: 07792 948767

[Daniel.Harris@rsmuk.com](mailto:Daniel.Harris@rsmuk.com)

**Angela Ward, Senior Manager**

Tel: 07966 091471

[Angela.Ward@rsmuk.com](mailto:Angela.Ward@rsmuk.com)

**Philip Church, Client Manager**

Tel: 07528 970082

[Philip.Church@rsmuk.com](mailto:Philip.Church@rsmuk.com)