Agenda 8

Systems review of recruitment and vetting arrangements

Committee    Audit and Standards

Date of meeting   18 March 2016    Date of report   7 March 2016

Report by Assistant Chief Executive (Business Support)

1. Object of report

To advise the committee on the findings of a systems review of recruitment and vetting arrangements. This engagement is included in the annual Internal Audit plan for 2015/16.

2. Background

Within SPT, Human Resources (HR) is responsible for overseeing recruitment and vetting arrangements including the development and review of policies and procedures to ensure compliance with legislation and delivery of an effective recruitment and selection process.

SPT’s website (@Careers at SPT) provides guidance and information on the recruitment and vetting arrangements of applicants.

The objective of this engagement was to review and evaluate the current processes, procedures and monitoring arrangements in place for the recruitment and vetting of permanent and temporary staff.

This engagement tested elements of the internal controls and mitigation against SPT 21: adverse publicity and SPT 22: governance arrangements, as identified in the corporate risk register.

3. Outline of findings

HR has documented procedures with checklists and forms to guide hiring managers and HR staff in recruitment and vetting processes.

The engagement identified a requirement to review, enhance and refresh existing guidance and supplement this with learning and development training.

The engagement also identified a requirement to explore the use of an IT solution to enhance the current recruitment and vetting arrangements.
There are areas for improvement, and these areas have been addressed by six audit recommendations. HR management have agreed to implement these recommendations, which are currently being actioned.

4. Conclusions

The Audit and Assurance team has undertaken a systems review of recruitment and vetting arrangements. Areas for improvement have been identified and six recommendations have been agreed.

Key controls exist and are applied consistently and effectively in the majority of areas tested in this engagement.

Reasonable assurance can be taken from the areas covered in this engagement.

5. Committee action

The committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to a future meeting.

6. Consequences

- Policy consequences: None
- Legal consequences: None
- Financial consequences: None
- Personnel consequences: None
- Social Inclusion consequences: None
- Risk consequences: As detailed in the report

Name: Valerie Davidson
Title: Assistant Chief Executive (Business Support)

Name: Gordon Maclennan
Title: Chief Executive

For further information, please contact Iain McNicol, Audit and Assurance Manager on 0141 333 3195.