

**RECRUITMENT OF STAFF – OPERATIONAL PROCEDURES
 INTERNAL CONTROL QUESTIONNAIRE**

Introduction

Recruitment is a key area to be audited in an organization, as there are issues of succession planning, compliance with prevailing employment legislation and even possibly intellectual property issues.

Attached is an ICQ relating to recruitment of staff and operational procedures.

Question	Yes	No	N/A	Comments
<p>Policies/Procedures</p> <ul style="list-style-type: none"> • Have formal procedures/policies been established regarding staff recruitment and retention? • Who approved the procedures? • Are these procedures reviewed regularly? • By whom? 				
<p>Exit Interviews</p> <ul style="list-style-type: none"> • Who receives the resignation letter from the employee? • Is there a requirement for a formal acceptance of resignation letter to be issued? • Who is responsible for issuing this? • Does the Departmental Line Manager inform HR of a person's decision to leave? • Is there an exit interview process? • With whom do the leavers have their exit interview prior to leaving? • Are formal records held of the exit interview? • Are standardized forms used detailing the destination and reasons for leaving? • Is there a requirement within the form to pass all property belonging to the organization back to them? • What about policies and procedures and intellectual property? • Is there a requirement for the leaver to sign the exit interview form? • Who is responsible for informing Payroll about removing the leaver from their system? 				
<p>Authorization of Recruitment</p>				
<ul style="list-style-type: none"> • Are new positions evaluated? • How and by whom? 				

<ul style="list-style-type: none"> • What is evaluated? • How are recruitment requirements identified? • Is there a special form for this? • Who is responsible for authorizing this form? • Are positions supported by job descriptions and person specifications? 				
Marketing				
<ul style="list-style-type: none"> • Has a recruitment method been agreed (e.g. external advert in a trade journal)? • Has a budget been established? • Do all advertisements provide all details? • What kind of information is provided to potential applicants? 				
Awareness				
<ul style="list-style-type: none"> • Are HR staff suitably qualified? • Have managers been provided been training re: interviewing? • How are managers made aware of employment regulations? 				
Application Forms				
<ul style="list-style-type: none"> • Are suitable application forms used? • Is a log of interest in vacancies maintained? • Who is responsible for this? • Is there a logging procedure where application forms are sent out? • Is there a cut-off date after which applications are sent to the shortlisting panel? • How many individuals take part in shortlisting? • Do they use a matrix approach? • Is this documented? 				
Interviews				
<ul style="list-style-type: none"> • How soon are interviews held? • How many people sit on the interview panel? • Is there a HR representative present? • What records are kept of the interview? • Are interview questions decided beforehand? • Are written tests used for selection? • When are candidates informed of the appointment decision? 				

<ul style="list-style-type: none"> Does an Appeals procedure exist? 				
Checks				
<ul style="list-style-type: none"> Is the offer subject to 2 written references? How are qualifications verified? Are background checks via the Criminal Research Bureau undertaken? Is an Occupational Health form completed? 				
Retention Policies				
<ul style="list-style-type: none"> Are retention packages such as market supplements or relocation packages established? Who has approved this? Who determines the retention package? Does the advert state the retention package? Do the retention packages on the establishment list agree to those in the personnel records? 				
Records				
<ul style="list-style-type: none"> Are accurate records of employees held? Are contracts signed? 				
Management Information				
<ul style="list-style-type: none"> What type of management information is circulated/ Is staff turnover reported? Is there a documented assessment of external consultancies used? 				
Payment of Costs				
<ul style="list-style-type: none"> How are advert costs paid? How are agency costs paid? Are interview expenses paid upon production of a receipt? Who authorizes relocation expenses? 				