

Establishment Control Policy

Draft

Lead Author:	Emily Barrett, HR Advisor
Developed by:	NHS Cambridgeshire's HR Team
Approved by:	<i>To be approved by the Senior Leadership Team</i>
Ratified by:	
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Development and Consultation	This policy has been developed by NHS Cambridgeshire's HR Team in consultation with the Finance Directorate.
Dissemination	The policy will be disseminated to all budget holders and employees involved in recruitment and selection processes by way of email communication, and will be accessible on the PCT website.
Implementation	The Senior Leadership Team, the Finance Directorate, the HR team, all budget holders and Employment Services at ASP will be responsible for ensuring that this policy is implemented.
Training	Training on this policy will be incorporated into the Recruitment and Selection policy training provided by the HR Team.
Audit	
Review	The HR Team will review the policy in line with feedback from Finance, budget holders and Employment Services.
World Class Commissioning	This policy supports NHSC compliance with WCC competency 1c.
Links with other documents	The policy should be read in conjunction with: Recruitment and Selection policy Equal Opportunities policy Single Equality Scheme
Equality and Diversity	The HR Team carried out a Rapid Equality and Diversity Impact Assessment and concluded that the policy is compliant with NHS Cambridgeshire's Equality and Diversity Policy.

Revisions

Version	Page/Para No	Description of change	Date Approved

Contents

1. Introduction	4
2. Purpose and Scope.....	4
3. Duties and Responsibilities	4
4. Definitions	4
5. Establishments and vacancies	5
6. Establishment Control Procedure.....	5
Appendix one	7
Establishment control form.....	7

1. Introduction

This policy has been developed to provide guidance to budget holders and all those involved in recruitment. It will enable all budget holders to ensure that all changes to the funded establishment and recruitment activities are aligned to the PCT's workforce needs. It will ensure that workforce resources are managed robustly and consistently.

2. Purpose and Scope

- Maintain the PCT's agreed funded establishment for each position
- Confirm the processes of agreeing and managing Directorate establishments, recruiting to those structures and making changes to the establishment
- Support the PCT's Equal Opportunities Policy

The guidance is particularly important for budget holders with responsibility for a funded establishment, but will also be useful for all staff involved in recruitment: line managers recruiting for roles within their teams and administration staff asked to facilitate recruitment activities.

3. Duties and Responsibilities

The following specific duties and responsibilities apply within the PCT:

- The application and monitoring of this procedure is the ultimate responsibility of the Chief Executive, but is executed by the Head of Human Resources and Organisational Development in conjunction with the Director of Corporate Development and Performance and the Finance Directorate.
- All employees of the PCT with budgetary responsibility and those responsible for the recruitment, selection and management of staff, must adhere to this procedure.

4. Definitions

Funded Establishment – the agreed funded level of staffing in whole time equivalent and pay band terms.

WTE – Whole Time Equivalent

5. Establishments and vacancies

The overall establishment figure for the PCT is reconfirmed and agreed annually, as part of the budget setting/confirmation process.

The funded establishment for each position confirms the number of staff that may be employed by the PCT in the form of whole time equivalents and salary. A funded establishment for each position is used to control the recruitment process.

An agreed funded establishment cannot be changed without following the process outlined later in this document and with the approval of the Finance Directorate and the Human Resources Department. In the event that an application to change the funded establishment is refused by either the Finance Directorate or Human Resources Department, the application can be presented, by the relevant Director, to the Senior Leadership Team, to seek approval.

Each year the Finance Directorate will provide each Directorate with a report detailing their funded establishment which should be used by each budget holder when considering the need for additional resource.

Recruitment activity cannot progress unless there is an approved vacancy for the job. All applications for approval must be presented following the procedure outlined in section six below.

Restructuring within a funded establishment may take place after the Finance Directorate and HR Department have received and approved the proposed changes and all new and existing posts that have been changed significantly are evaluated and banded by an independent matching panel.

All amended posts must be formally changed or disestablished; ESR work structures and the PCT's organisation chart must be updated in the event of a restructuring.

6. Establishment Control Procedure

All vacancies and changes in funded establishment must be approved using the Establishment Control Procedure. Examples of these are below:

- Changes to banding or structure numbers (including WTE hours if they are to increase) – please note proposed changes to pay bands will need to go through a job evaluation exercise.
- Recruitment of a substantive position as a direct replacement for a recently vacated role.

- Recruitment of a newly created substantive position
- Recruitment or renewal of a fixed term contract
- Recruitment of a temporary post outside of the agreed establishment, e.g. a secondment / special project attracting its own funding (backup paperwork must always be provided)
- Engagement of a temporary worker via an agency or contractor. Use of agency staff or contractors should be limited to covering vacant posts within the establishment and long-term absences. Where a temporary worker is required to cover a role outside of the agreed establishment, the budget holder should present the business case for hiring workers outside of the funded establishment.

An Establishment Control Form (Appendix One) must be completed in all of the above cases. Forms need to be completed fully by the budget holder, supported by the relevant job description and person specification together with any other supporting paperwork (e.g. confirmation of external funding) and agreed by the relevant Director before being submitted to the HR Department.

The form will be logged by the HR Department and will then be sent to Finance for confirmation that funding is available. If there is a funded vacancy for the position, the form will be approved by Finance and will be returned to the HR Department to be reviewed. If the application is approved at this stage the form will be returned to the budget holder and they can proceed with recruitment.

If the application is refused it will be returned to the appropriate Director with an explanation for the refusal. The Director will have the option to submit the form to the Senior Leadership Team to seek approval.

If approval is given, recruitment procedures must be conducted according to the PCT's Recruitment and Selection Policy.

Please note: Employment Services will not commence the recruitment process until they have received the completed Vacancy Control Form showing approval for the post.

Appendix one

Establishment control form

Ten step process to manage funded establishment	
1.	Budget holder to complete first section, attached job description and person specification and send to appropriate Director for approval
2.	Once Director has approved the form, send hard copy to Human Resources
3.	HR to allocate reference number and form to be sent to Finance team to check if funding is available within agreed funded establishment. Finance to complete section two and return to HR.
4.	Once funding is confirmed as available by Finance, the application will then be reviewed by the Head of HR & OD.
5.	If the vacancy is within the budget holder's agreed establishment and funding is confirmed as available and is approved by the HR Department, Human Resources will return the completed form to the budget holder who must then send the form to ASP Employment Services as part of the recruitment process. Note: ASP will not undertake recruitment without this form.
6.	If Finance advise the vacancy is outside of agreed establishment and/or there is insufficient funding and/or the HR Department has refused approval, HR will confirm the decision to the director who should then seek approval from the Senior Leadership Team (SLT usually meets on Wednesdays).
7.	Confirmation of the decision will be sent within 10 working days of receipt of form.
8.	Following SLT meeting, Director to complete section four and attach copy of SLT minutes. Completed form is sent to Human Resources.
9.	HR will log decision by SLT and will send completed form to budget holder. If approval granted, budget holder to proceed with recruitment process.
10.	This establishment control form will expire within 6 weeks of approval. If the role is not being actively recruited to within this time re-approval will be necessary before the role is advertised.

Important information for budget holders

Fixed Term Contracts

All budget holders should be aware that the HR team will consider whether this vacancy may be considered suitable alternative employment for any NHS Cambridgeshire employee who is coming to the end of their fixed term contract with the organization. This is in line with the organization's responsibilities under the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002.

Under these regulations NHS Cambridgeshire has a duty to offer these employees suitable alternative employment if it is available. If a vacancy is deemed to be suitable for an employee coming to the end of their fixed term contract HR will contact the responsible budget holder and the vacancy will be held for that employee without a competitive recruitment process.

For further guidance on Fixed Term Contracts please contact the HR Team.

Recruitment and Selection

The Recruitment and Selection policy can be found [here](#) and should be referred to before any recruitment process is undertaken to ensure a fair and equitable recruitment process is followed.

Important note regarding re-banding:

If any significant changes have been made to a job description and person specification they may affect the banding of the position. Therefore, you **MUST** submit any amended job description and person specification to the HR team for re-banding.

This process can run concurrently with the establishment control procedure.

Send a copy of the job description and person specification along with a KSF outline if available and an indication of the expected banding to:
HRCambridgeshire@cambridgeshire.nhs.uk

SECTION ONE

For completion by relevant budget holder

Details of vacancy/change in establishment			
Name of budget holder responsible for establishment:			
Name of the line manager responsible for managing the position:			
Directorate:			
Location of job:			
Is this a new position?	Yes / No		
Job title:			
Previous / current post-holder (if existing position)			
Is this a straight replacement?	Yes / No	Is this an increase in WTE?	Yes / No
If existing position is this a change to current banding? See note on page one	Increase / decrease / n/a (delete as appropriate)		
Proposed pay band (for new or re-banded positions):			
If existing position, what are the current working hours?		If this is a new position what are the proposed working hours?	

Has a Recruitment and Retention Premia (RRP) been agreed for this position?	Yes or No? (delete as appropriate)	If yes, how much?	£
	Short or Long term? (delete as appropriate)		
Type of Contract.		Permanent / Fixed Term / Temporary / or Secondment (delete as appropriate)	
If Fixed Term /Temporary / or Secondment contract, state start and end date		Start date:	End date:
Have you reviewed this post alongside those others in your team to ensure that your are making the most effective use of your funded establishment?			
Only to be completed if the post is new or you are requesting an increase in banding:			
Describe how this position supports the delivery of the Trust's current objectives?			
What is the risk to the Trust if this position is not filled?:			

Director's signature:	
Signed:.....	Date.....
Name (CAPITALS):	
Position:	

***Please note that this establishment control form will expire within 6 weeks of approval. If the role is not being actively recruited to within this time re-approval will be necessary before the role is advertised.**

SECTION TWO

For completion by Finance Department

Finance information		
	WTE	£'s
Cost Centre		
If new post or re-banding:		
Estimated cost of post(s) included on this form – CYE		
Estimated cost of post(s) included on this form – FYE		
Impact on overall financial position (e.g. is under spend already assumed in forecast outturn)		
Signed by Management Accountant:		
Signed:	Date.....	
Name (CAPITALS):		

SECTION THREE

For completion by HR

Date received:	
ESR position number:	
Vacancy Control Reference Number:	
Application agreed by Head of HR & OD?	Yes / No
Funding confirmed by Finance? (Only if application agreed by Head of HR & OD)	Yes / No
Requires approval at Senior Leadership Team (SLT)?	Yes/No If YES – to be taken to SLT by Director
Reason for rejecting application:(to be completed by Head of HR & OD)	
Signed by Head of HR & OD:	
Signed: Date.....	
Name (CAPITALS):	

SECTION FOUR

For completion by Director

Date of SLT meeting:	
SLT approval given?	Yes / No
Reason for decision:	
SLT minutes attached?	Yes / No
Signed:Date.....	
Name (CAPITALS):	