

**NHS SHROPSHIRE CLINICAL COMMISSIONING GROUP
NHS TELFORD AND WREKIN CLINICAL COMMISSIONING GROUP**

Establishment Control Policy

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1 Introduction

Establishment control is part of the CCGs' recruitment process. It ensures that the organisations recruit the right number of staff, at the correct grades, in order to achieve their organisational objectives. It also helps to ensure that payroll records and the budget reflect any changes to existing posts.

An Establishment Control Form (ECF) must be completed for all changes to the establishment, including new and replacement staff for existing posts, and for new posts, including those that have been approved through the Planning Round.

Information and forms are available from the CCG Finance Team.

As Shropshire and Telford CCGs are now taking steps to become one strategic commissioning organisation, both CCGs have agreed that they won't seek to automatically recruit to vacancies unless there is a specific need to do so, e.g. business critical roles.

2 Prior to Completion

Before completing an ECF you must consult with a number of people:

- Midlands and Lancashire Commissioning Support Unit (MLCSU) HR to determine the correct grade for the post and if formal banding of the post is needed.
- Budget implications must be discussed with the CCG Finance Team.
- You must discuss your intention to recruit with your line manager.

Preparers of ECFs and those involved in establishment changes are reminded to be aware of the potential for conflicts of interest to arise which should be notified and addressed in an appropriate way.

You are recommended to commence the ECF process as soon as you are aware of an impending vacancy or change. The HR process to advertise posts will not proceed without the ECF process having taken place. For prompt processing when completing an ECF you need to clearly identify where budget can be made available to cover the costs of the post either from cost savings or additional income. The position against budget should be considered both in terms of the individual post under consideration and also confirming that there are no overspends looking across the budget as a whole.

If the budget for the post is to be derived from a new income stream then a robust business case will need to accompany the ECF demonstrating the viability of the opportunity.

Supporting information such as an organisation chart should be provided with a completed ECF where relevant.

3 Completion and Submission:

A completed ECF is required for all of the following situations:

- Permanent or temporary replacement
- Extension of fixed-term contract
- Increase in contracted hours or grade

- Full or partial replacement of an existing post with agreed hours
- Maternity/sick cover
- New posts to be funded from external research grants
- Extensions or alterations to posts funded from external research grants
- New posts
- New self-financing posts

If a member of staff wishes to reduce their hours/FTE either permanently or temporarily, no ECF is required for the reduction. Any changes must be agreed with line managers and entered and authorised on the Easy system. Please contact HR at MLCSU who will provide advice on how to process this, although it is the responsibility of managers to ensure that Easy is kept up to date. An ECF will only be required if you want to create a new post from the resulting salary savings.

Where the ECF relates to a replacement for a current post, whether permanent or temporary, Human Resources will not process the form until all relevant information is provided. This includes confirmation of the current post-holder's date of departure. For complex changes, please contact the Finance Team for advice.

Once completed, the ECF must be authorised by the Executive responsible for the service area and then emailed to the CCG Finance Team for processing. At this stage, coding and funding will be confirmed or advised, and the finance section completed.

It will then be passed to the Chief Finance Officer (CFO) for signing. Each form MUST have the signatory of the appropriate Executive and either the Accountable Officer (AO) or CFO in order to proceed. Signed forms will then be submitted to the CCGs' Joint Executive meeting for approval.

For Shropshire CCG only

Executive team posts and any other managerial appointment that is not subject to the Agenda for Change framework must also be approved by the Remuneration Committee.

If the ECF is approved the form will be passed back to the requester for processing as required (e.g. advertised, contract extension/variation written etc). This instruction must be communicated to HR at the CSU in order for the recruitment to take place.

Should an ECF be rejected, the ECF and the reason for the rejection will be provided to the requester on a timely basis to provide the opportunity for any necessary amendments to be addressed quickly.

It is the responsibility of the relevant manager to ensure a formal contract and agreed workplan are in place and a Purchase Order raised for interim staff/consultants prior to commencement of the assignment. In addition, it is also the responsibility of the relevant manager to ensure that any necessary business cases and associated approvals relating to Off-Payroll Workers and use of Consultants are in place.

4 Authorisation/Approval

- Each ECF must be signed by two Executives, one of which must be the AO or CFO, as noted above, and then approved at the Joint Executive meeting.
- If the annualised salary for the post is greater than £100k, approval will be required from the CCG Remuneration Committee before proceeding.

Any ECF requiring additional CCG resources will need to be supported by a robust business case that has been through appropriate CCG Governance, documented on the ECF. In most instances, these ECFs should have formed part of a department's annual submission for the Planning Round. It is important to ensure that requests are consistent with the details included within the department's plans. The timetable will be published annually but is unlikely to be later than February of each year.

5 Turnaround times for approval and processing of ECFs

ECFs completed accurately and completely will be processed in a timely manner, which should be no longer than within a week.

6 Confirmation

If the ECF is approved, it will be processed by the CCG Finance Team who will return the original to the requester and keep a copy in finance.

Once the ECF has been approved, the department is required to start recruitment straight away or in accordance with the stated future recruitment date. The department will be required to submit a new ECF if it fails to recruit within 6 months after the expected start date noted on the ECF.

7 Further information

For further guidance please contact the Deputy CFO.

Appendix 1 Establishment Control Form (ECF)

Please complete in block capitals

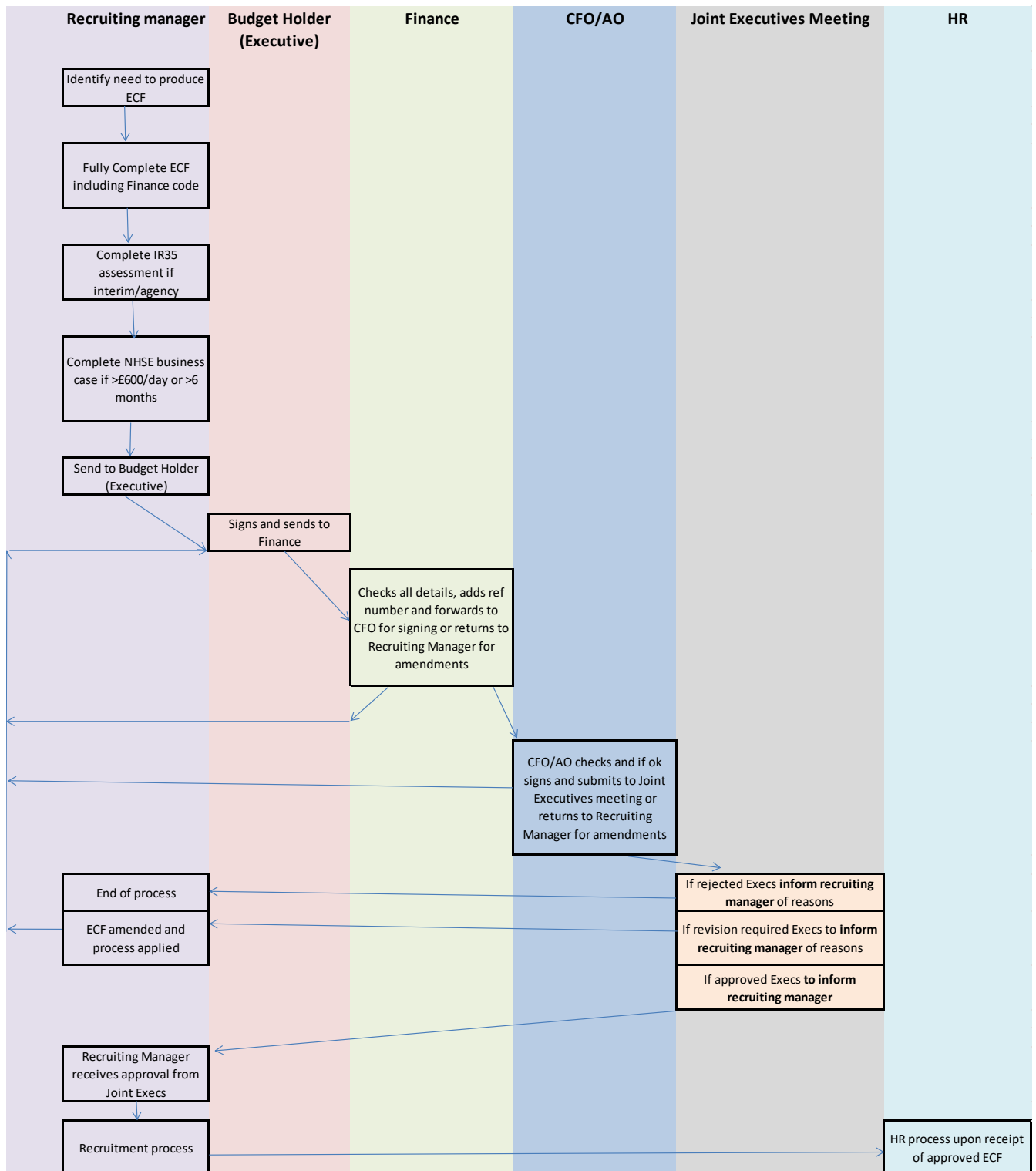
Reason for request <i>(please circle)</i>	Recruit to new post	Alter existing post	Recruit to existing post	Additional Support
POST INFORMATION				
Job title				ECF Ref:
CCG <i>(please circle)</i>	Shropshire	Telford		
Team				
Specify Easy staff group of the post				
Band / Salary				
Base location			Hours / sessions per week <i>(please specify)</i>	
Type of contract <i>(please circle)</i>	Permanent	Fixed term	Secondment	Bank
			VSM	Board/Lay Member
	If Fixed Term/Interim, please provide detail:		e.g. start date and length of appointment	
Is a professional membership required?	Yes (if yes, state type/body:			
Is a Disclosure and Barring Service (DBS) check required?	Yes		No	
Justify why the post needs to be filled/amended and how it will be funded	<p><i>This must include:-</i></p> <ul style="list-style-type: none"> <i>Details of the critical duties of the role</i> <i>An explanation of alternative ways of working considered in relation to this role</i> <i>Details of how the role is to be funded – including any external funding required (emails/agreements should be embedded)</i> <i>For Interim/Consultant positions, a detailed work-plan must be attached</i> 			
What are the risks of not recruiting/amending the post?				
Current / previous post holder's full name <i>(if applicable)</i>				
FINANCIAL INFORMATION				
Finance Code (Cost centre & subjective)				
Full Year Cost			Part Year Cost	
If the post is to be recharged across organisations, please confirm details	Organisation	% Recharge	Basis of Recharge	N/A
Has authorisation been granted from each organisation?	Yes		No	N/A
If yes, please confirm details of authorisation	Organisation	Name of Authoriser		N/A

organisations			
Finance Comments:			
ADVERTISING THE POST (TO BE COMPLETED WITH HR ASSISTANCE IF REQUIRED) If this information is available elsewhere this can be cross-referenced and does not need to be replicated here.			
Contact name on advert for further information			
Contact email address		Contact number	
Closing Date			
Interview date			
Additional media for advert? If so, which media? <i>(All jobs are advertised online at www.jobs.nhs.uk)</i>			
APPROVALS			
PLEASE NOTE – For any interim/consultancy requests, by approving this ECF the Recruiting Manager agrees to ensure a formal contract and agreed workplan are in place and a Purchase Order will be raised by commencement of assignment. In addition, the Manager agrees to ensure that any necessary business cases and associated approvals relating to Off-Payroll Workers and use of Consultants are in place.			
	Name	Date	Signature
Recruiting Manager			
Exec Budget Holder			
Finance Team			
CFO/AO			
HR Business Partner <i>(or email confirmation)</i>			
On behalf of Joint Exec Team			

Please upload this completed form, with a copy of the job description, person specification and advert

For completion by the HR team	
Post number	
Vacancy reference number	

**SHROPSHIRE CCG & TELFORD AND WREKIN CCG
ESTABLISHMENT CONTROL PROCESS - June 2019**



NHS Shropshire CCG & Telford and Wrekin CCG Recruitment Checklist

SUBSTANTIVE POST

Have I completed an ECF - obtained from Finance - in accordance with the CCG's Establishment Control Policy	
Has the ECF been approved in accordance with the CCG's Establishment Control Policy	
Have I inserted the role on TRAC for advertising (CSU HR for assistance)	

INTERIM POST

Have I completed the HMRC IR35 Questionnaire and confirmed whether the role is inside or outside of IR35	
Dependant on the above, does that make a difference to the costs (Inside IR35 has possible additional PAYE/NI costs to the agency).	
Have I completed an ECF - obtained from Finance - In accordance with the CCG's Establishment Control Policy	
Has the ECF been approved in accordance with the CCG's Establishment Control Policy	
Have I done a Business Case, in accordance with NHS Expenditure requirements (if the cost is over £600 per day or the contracted period is for longer than 6 months, a business case has to be submitted to NHSE). Where interims are extended, the 6 month requirement may get triggered	
Can I demonstrate VFM and compliance with the CCG's Prime Financial Policies - have I gained quotes from several agencies and completed a waiver if appropriate	
Am I clear on the total charge to the CCG including VAT (VAT is not reclaimable on the majority of interim posts, only for pure consultancy/advisory roles - contact finance for advice)	
Am I clear on the charge to the Agency and the amount the worker gets - so I am clear on the agency percentage	
Has any funding stream been identified to reimburse - provide proof	