# Recruitment and Induction policy

The directors at [Name of firm] interview all prospective employee to assess attitude, non technical skills, behaviour and technical skills (a written competency test is undertaken).

References, and where appropriate regulatory references, are taken up on all new employees and retained for 6 years from the date they cease to be an employee of the firm.

This policy is to be read in conjunction with the following policies:-

Training and competency

Anti-bribery and corruption

## Induction

Induction of new employee is managed by the [Name of Director]. Induction includes presentations on Money Laundering, Data Protection, Treating Customers Fairly, Consumer Duty, Health and Safety, Conduct Rules and Company Culture.

Departmental procedures and computer system training is carried out by Department Managers or Team Managers.

## Induction checklist for new employee (template)

|  |  |
| --- | --- |
| Name |  |
| Date of joining |  |
| Company |  |
| Department |  |

#### Prior to employment

|  |  |  |  |
| --- | --- | --- | --- |
| Details | Documents required | By whom | Date completed |
| Send and receive offer documentation | Offer letterEmployment contractApplication formMedical questionnairePrivacy notice (Employee) |  |  |
| Obtain references: | Reference request forms |  |  |
| Provision of company mobile (if needed) |  |  |  |
| Provision of company car (if required) |  |  |  |
| Provision of alarm fob and office keys (if required) |  |  |  |
| Prepare induction documentation for start day |  |  |  |
| Set up new employee on the online training platform as applicable. |  |  |  |

#### First Day

|  |  |  |  |
| --- | --- | --- | --- |
| Details | Documentation | By whom | Date completed |
| Complete and copy new starter form containing payroll information and employee benefit information | New starter form |  |  |
| Collect P45  | P45 |  |  |
| Collect proof of identification – and retain copy on personnel file. | Passport  |  |  |
| Collect signed IT policy to keep on personnel file.  | IT Policy |  |  |
| Complete Death in Service nomination form and retain on personnel file. | Death in Service nomination form |  |  |
| Give signed contract back to employee | Contract of employment |  |  |
| Obtain copy driving licence for company car drivers | Driving dicence |  |  |
| Provide and collect a signed job description | Job description |  |  |
| Provide Health and Safety policy | Health & Safety policy |  |  |
| Provide hard copy Employment Handbook (sign document to acknowledge received). | Handbook |  |  |
| Provide employee with a key fob for the building (if required). |  |  |  |
| Conduct a guided tour of building |  |  |  |
| Run through a New Employee Starter Pack  | Organisation ChartsGroup StructureTelephone extension ListTelephone system manualOffice seating planRecent memos and emailsPrivacy notice (employee) |  |  |
| Issue and explain Personal Development Folders including: | Training and exam PolicyCII exam informationTraining needs analysisPersonal development planAppraisals |  |  |
| Run through the following as appropriate:-Mission statementHistory of the companyGroup structureKey employee and management teamCompany vision and goalsBrief synopsis of key company policies such as Health & Safety, Equal opportunity, Grievance and disciplinary, sickness etc.  |  |  |  |
| Expenses procedureExplain expenses procedureProvide employee with copy of expenses form | Expenses form |  |  |
| Initial Computer Training |  |  |  |
| The network* Logging on and off
* Changing password
* The share drive
* The intranet
 | IT handouts |  |  |
| Outlook* Email (company format, housekeeping, run through workflow)
* Calendar (how we use it, layout etc)
* Task list
* Contacts
 | IT handouts |  |  |
| Computer system (TAM or other) * Logging on and off
* Layout of the front screen
 | IT handouts |  |  |

#### During First Week

|  |  |  |  |
| --- | --- | --- | --- |
| Details | Documentation | By whom | Date completed |
| General Training* Collect information on previous training undertaken, i.e., plans, certificates etc
* Collect proof of qualifications
* Ensure relevant department training sessions are attended.
 |  |  |  |
| Specific computer/procedural trainingThe nature of this training will depend on the company and department within which they work. | Procedure Manual |  |  |
| Sit down and discuss the employees progress so far with them including:* Their perception on how they are settling in – discuss any problems
* The firm’s perception on how they are settling in – feedback so far.
* If they have any learning needs so far the induction programme has not satisfied.
 |  |  |  |

#### During the First Month

|  |  |  |  |
| --- | --- | --- | --- |
| Details | Details | By whom | Date completed |
| Invoicing and credit control* Pre-check procedure before invoicing
* The transaction screen
* Transaction types
* Insurance Premium Tax
* Messages and notes on the system
* Printing invoices
* Credit control activities and letters
* Premium finance payments
* Lapsing policies – accounting implications
 |  |  |  |
| FCA training* Money laundering
* Financial sanctions checking
* Fraud prevention
* Bribery prevention
* Data protection
* Complaints procedures
* Treating customers fairly
* Consumer Duty
* Conflicts of interest
* Gifts and hospitality register
* Whistle blowing procedures
* Commission disclosure requirements for commercial customers.
* Contract Certainty
* The Insurance Act
* The Consumer Insurance Act
* The sales process including new business, mid term adjustments and renewals.
* Scope of service
* Demands and needs statements.
* Conduct rules
 |  |  |  |

#### End of Third Month

|  |  |  |  |
| --- | --- | --- | --- |
| Activity | Documents | By whom | Date completed |
| Conduct 3 month review* Their perception on how they have settled in – discuss any problems
* The firm’s perception on how they have settled in – discussing any issues
* Review of work – acknowledging successes
* Has the employee been assessed as competent? If not, set timescale for completion.
* Set further objectives / targets if necessary
* Confirm appointment
* Issue Certificate if employee member on the Certification Regime. This must be issued before the member of employee is allowed to perform the Certificated Function.
 |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Induction Assessments | Trainer | Test results | Date completed |
| * TAM Test or Other
* Key Choices Test
 |  |  |  |

#### General Induction Completed

|  |  |
| --- | --- |
| Employee |  |
| Date |  |
| Director |  |
| Date |  |