

## 1. RECRUITMENT, SELECTION AND INDUCTION POLICY

**Submitted by:** Executive Management Team

**Portfolio:** Finance and Budget Management

### **Purpose of the Review**

To obtain the Committee's endorsement of a Recruitment, Selection and Induction Policy for the council, to replace the current Recruitment, Selection and Induction Code of Practice.

### **Recommendation**

**That the Recruitment, Selection and Induction Policy attached at Appendix A be endorsed.**

## 1. **Background**

1.1 The council's Recruitment, Selection and Induction Code of Practice was issued in March 1998 as a comprehensive guide for employees involved in the recruitment and induction process. Recent changes in employment legislation have meant that it has become necessary to review the Code of Practice and the opportunity has been taken to also update the format.

1.2 The resultant draft Recruitment, Selection and Induction Policy is less prescriptive and significantly shorter than the current Code of Practice, however, the council's commitment to ensuring that our recruitment procedures provide effective ways of assessing and appointing the most capable employees, whilst maintaining our commitment to equality in employment remains unchanged. The aim of the policy is, therefore, to ensure that a fair, consistent, non-discriminatory and effective practice is maintained in all areas and at all stages of the council's recruitment and selection process and that our procedures are consistent with relevant employment legislation and best practice. A copy is attached at Appendix A.

## 2. **Issues**

2.1 There are two main areas where the draft policy is different from the current Code of Practice. These are in relation to 'vacancy approval' (Section 10.3.1, page 8) and 'advertising' (Section 10.4.1 – 10.4.3). For some time it has been the practice that all requests for vacant posts to be recruited to have to be approved by the Executive Management Team and the relevant Portfolio Holder (10.3.1). Posts that have been approved for filling are now generally advertised internally in the first instance and are only advertised externally if no suitable internal candidate has been identified (10.4.1 and 10.4.3).

2.2 The draft policy was discussed on 29 January 2013 by the Chair of the Employees Consultative Committee, the Head of Human Resources and the trade unions. The trade unions are supportive but suggested that the reference in the policy to 'suitable' internal candidates should incorporate 'candidates who, although unable to undertake the full duties of a post applied for, may be able to do so following appropriate training.'

- 2.3 Advertising posts internally in the first instance will provide employees with opportunities for career development. Candidates will only be selected for interview where they meet the essential requirements for the post set out in the Person Specification. Candidates who are interviewed but whose assessment score is below the minimum score considered to be appropriate for a post will not be considered for appointment.
- 2.4 Although there may be occasions when an appointment can be made where a candidate is not immediately capable of carrying out the full range of duties but may be able to do so in time with sufficient training and support, there will also be occasions where it is essential for service continuity that the full range of duties are carried out from the first day of appointment and/or that the cost/time required for relevant training is impracticable or uneconomic and this will need to be taken into account when appointment decisions are being considered on a case by case basis.
- 2.5 Under the terms of the policy, internal candidates will have the right to challenge appointment decisions via the Grievance Procedure.
- 2.6 The Policy was considered at the Employees Consultative Committee on 18 February 2013. At the meeting it was accepted that although there may be occasions when an appointment could be made where a candidate was not immediately capable of carrying out the full range of duties (but may be able to do so in time with sufficient training and support), there would also be occasions where it was essential for service continuity that the full range of duties were carried out from the first day of appointment and/or that the cost/time required for relevant training would need to be taken into account when appointment decisions were being considered on a case by case basis.

### **3. Legal and Statutory Implications**

- 3.1 It is essential that the council's recruitment, selection and induction policy and procedures reflect current best practice and are compliant with related employment legislation.
- 3.2 The policy is underpinned by and compliant with the following:
- Equality Act 2010
  - Employment Rights Act 1996
  - Employment Act 2002
  - Fixed Term Employee Regulations 2002
  - Part-time Workers Regulations 2000 (Amendment) 2002
  - Agency Workers Regulations 2010
  - Asylum & Immigration Act 2006
  - Data Protection Act 1998

4. **Equality Impact Assessment**

4.1 An Equality Impact Assessment has been completed.

4.2 The Policy will be applied consistently to all candidates for vacant posts.

4.3 The process of advertising vacancies that have been approved for filling internally in the first instance is considered to be appropriate and justifiable in view of the current economic/budget challenges facing local authorities.

5. **Financial and Resource Implications**

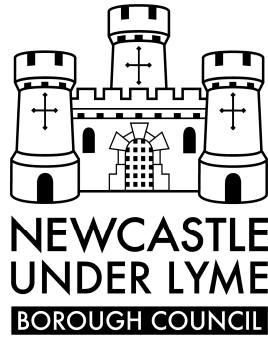
5.1 None.

6. **Major Risks**

6.1 There can be a risk of challenge in the event that recruitment and selection processes are found to be unfair or discriminate either directly or indirectly against applicants with 'protected characteristics'.

7. **List of Appendices**

Appendix A      Proposed Recruitment, Selection and Induction Policy



# RECRUITMENT, SELECTION AND INDUCTION POLICY

*Originated: March 1998*

*Revised: November 2003  
July 2006  
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*Equality Impact Assessed: September 2009*



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# RECRUITMENT, SELECTION AND INDUCTION POLICY

## 1. Introduction and Scope of the Policy

- 1.1 Newcastle-under-Lyme Borough Council is committed to delivering excellent quality services and recognises that the success of these services is greatly dependent upon the quality of the people that the Council employs. Therefore the Council seeks to attract and recruit people with the necessary skills, competencies, expertise, qualifications and vision to deliver our service objectives. Our recruitment and selection procedures have been designed to provide effective ways to assess and appoint the most capable employees.
- 1.2 The Council is committed to equality in employment and recognises the value of diversity in its employees. It will not discriminate on grounds of gender, marital status, ethnic origin, colour, nationality, disability, sexual orientation, religion, age, spent offences or any other reason that cannot be shown to be justified. Therefore, the aim of this policy is to ensure that a fair, consistent, non-discriminatory and effective practice is adopted in all areas and at all stages of the Council's recruitment and selection process.
- 1.3 This policy has been drawn up in consultation with the Council's recognised trade unions, to ensure that the Council's recruitment and selection procedures are clear, fair and in line with current employment legislation, best practice and relevant codes of practice.
- 1.4 This policy applies to the recruitment of permanent, temporary, and casual employees.
- 1.5 This policy does not apply to the upgrading of a post as a result of job re-evaluation, or to temporary promotion or acting up in a more senior role to provide cover for a key vacancy or long-term absence.

## 2. Objectives

- 2.1 To establish corporate standards in relation to recruitment advertising, use of agencies, recruitment interviewing, assessment, appointment and candidate feedback.
- 2.2 To enable recruitment and selection processes to be accessible to all sections of the community through advertising external job opportunities in the widest possible arena. Therefore, to increase the number of applications and appointments from minority and under represented sections of the community.

- 2.3 To ensure a consistent, corporate approach to recruitment and selection, ensuring that all applicants are treated professionally, consistently and fairly when applying to the Council and attending an interview.
- 2.4 To promote equalities and diversity in employment through our recruitment and selection practices.
- 2.5 To ensure that all selection decisions are based on objective criteria, can be justified and meet equality and diversity legislation.
- 2.6 To ensure that recruiting managers are aware of the legal and regulatory obligations they need to observe when recruiting staff.
- 2.7 To ensure all appointments are consistent with the Council's obligations as an employer under the current legislation framework. This Policy is underpinned by:
- Employment Rights Act 1996
  - Data Protection Act 1998
  - Employment Act 2002
  - Fixed Term Employee Regulations 2002
  - Part-time Workers Regulations 2000 (Amendment) 2002
  - Asylum & Immigration Act 2006
  - Equality Act 2010
  - Agency Workers Regulations 2010
- 2.8 To ensure we take certain steps to encourage applications from individuals from particular under represented groups and harder to reach communities for certain vacancies, for example women, people with disabilities or members of a particular ethnic minority groups, when it has been demonstrated that they are under represented in the existing workforce. Encouragement may be by targeting publications read by the group in question or by including wording in the advertisement making it known that applications are particularly welcome from a certain group.
- 2.9 It is the Council's policy that we offer a guaranteed job interview for disabled candidates provided they can meet the essential criteria on the person specification.
- 2.10 The Council is also committed to safeguarding and promoting the welfare of children, young people and vulnerable adults and we expect all employees, workers and volunteers to share this commitment.

### **3. Equality Legislation**

- 3.1 Equality legislation covers all aspects of the recruitment and employment process and protects applicants with "protected



characteristics” against discrimination. “Protected characteristics” are:

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief
- sex
- sexual orientation

3.2 The Equality legislation applies to everyone, including:

- employees;
- workers who are not employees but who work under a contract for services;
- applicants for jobs;
- volunteers;
- agency workers;
- contract workers;
- trainees undertaking or seeking vocational training;
- students.

3.3 The Equality Act is supported by a Code of Practice which sets out good employment practice and guidance on how to ensure compliance with legal requirements. Although not legally binding, the Code will be taken into account by Employment Tribunals as evidence of good employment practice.

3.4 In addition to the other forms of discrimination set out in the Equality Act, people with a disability are protected from:

3.4.1 Unfavourable treatment due to something connected with their disability – this differs from direct/indirect discrimination because there does not have to be anyone to compare the treatment of the disabled person with;

3.4.2 Failure to make “reasonable adjustments” – these must be made if a disabled candidate is placed at a substantial disadvantage, ie anything that is not minor or trivial, by any aspect of the recruitment process. What is reasonable will depend on the effectiveness of the adjustment in overcoming the disadvantage and the ability of the employer to make the required changes. Changes may have to be made to the recruitment process, duties, working practices and terms and conditions of employment, even when that involves treating disabled people more favourably.

3.5 It is also unlawful to discriminate against employees, job applicants and trainees because of their age.

#### **4. Responsibilities**

It is the responsibility of every member of staff involved in the recruitment and selection process to adhere to this policy.

- 4.1 The Executive Management Team and Heads of Service will be responsible and accountable for recruitment and selection in their Service Areas, ensuring that all recruitment and selection activities are carried out in line with the policy.
- 4.2 Human Resources are responsible for advising the Executive Management Team, Heads of Service, Service Managers and Business Managers on all matters relating to recruitment and selection.
- 4.3 Human Resources are responsible for establishing the criteria for monitoring and evaluating the application of the policy across all Directorates.
- 4.4 Human Resources will periodically review or revise this policy to reflect changes in recruitment practices, employment legislation, the labour market and working patterns.
- 4.5 All staff involved in the recruitment and selection process must handle all applications, and associated data, sensitively, fairly and confidentially.
- 4.6 The Recruiting Manager will be responsible for co-ordinating and organising recruitment and selection activity in association with Human Resources if required.
- 4.7 Staff involved in the selection process will understand their responsibility to make decisions that are free from stereotyping and comply with equality and diversity legislation in relation to gender, marital status, ethnic origin, colour, nationality, disability, sexual orientation, religion, age, spent offences or any other reason that cannot be shown to be justified.
- 4.8 Where an applicant has indicated under the Conflict of Interest section in their application form, that they know or are related to an existing employee or Councillor, it is the responsibility of the Recruiting Manager to ensure that this known person is not involved in the appointment, or the decision behind such appointment.
- 4.9 All staff involved in the recruitment and selection process are required to attend the relevant training course and to receive guidance on applying equal opportunities.

- 4.10 Failure to comply with the policy, where this will or may result in acts of discrimination, will be regarded as a disciplinary offence.

## **5. Procedures**

A detailed process together with a full explanation of all stages, template forms and documents are provided in the Managers Toolkit pages of the intranet. Recruiting Managers, and all staff involved are required to have an understanding of their role and responsibilities during each stage of the recruitment and selection process, and to seek support and guidance from Human Resources where necessary.

## **6. Appointments exempt from selection procedures**

- 6.1 There are a number of occasions where direct appointments can be made without the full selection process. These include:

- Redeployments – employees requiring redeployment are given the opportunity to apply for jobs before they are advertised in line with the Council’s Restructuring and Redundancy Policy and Procedure. This includes employees who are subject to a notice of redundancy. Redeployment is also considered for those who have become disabled during the course of their employment and those who for health reasons require alternative employment. If successful, the post will not be advertised externally. However where more than one suitable candidate requires redeployment a selection process will be necessary.
- Temporary to permanent contracts – people on temporary contracts can be made permanent as long as the appointment to the temporary post had been subject to a competitive process.

## **7. Politically Restricted Posts**

- 7.1 In 1989 the Local Government and Housing Act 1989, introduced the principle of “politically restricted posts” and of restricting the political activities of local authority employees who hold certain categories of posts.

- 7.2 Politically restricted employees will automatically be disqualified from standing for or holding elected office, and these restrictions are incorporated into the contracts of employment of politically restricted post-holders, and therefore any breach of restrictions will be deemed to be an offence which will be dealt with in accordance with the Council’s disciplinary procedure.

- 7.3 The posts affected by the restrictions are as follows:

- Chief Executive
- Executive Directors.

- Employees in receipt of an annual salary equivalent to or above spinal column point 44 (on the NJC Local Government Services pay scale) or full time post and the equivalent pro-rata rate for part time posts.
- Employees who regularly advise the Council or its committees or sub-committees.
- Employees who regularly speak on behalf of the Council to journalists or broadcasters.
- Assistants to Political Groups.

It is the Council's duty to prepare and maintain a list of politically restricted posts. This comprehensive schedule of politically restricted posts for each Directorate can be found in **Appendix A**. The Executive Director (Resources and Support Services) determines which posts are politically restricted.

- 7.4 When an appointment is made to such a post, the person appointed must be informed in writing of the political restriction which applies to the appointment.

## **8. Career Graded Posts**

- 8.1 Career Graded Posts are posts which cover a range of grades. Employees will be required to meet the specific criteria set for the post before they progress to the next grade. The Line Manager and Human Resources will look to support and develop staff in these posts to progress through the grades with competency-based training and support in studying for professional qualifications.
- 8.2 When the individual demonstrates that they meet the criteria for the next grade, the individuals pay will be reviewed in accordance with the career grade and with the availability of suitable work as specified in their contract of employment.

## **9. Recruitment Agencies**

- 9.1 The Council aims to fill all vacant posts with directly employed staff wherever practical. The use of agency workers are only to provide additional resources and to allow for flexibility on a short-term basis from time to time.
- 9.2 The Agency Workers Regulations 2010, highlight that once an agency worker has completed 12 weeks with the organisation in the same role, then they will be entitled to the same basic working and employment conditions that would apply to employees or workers who have been directly recruited to the same job. This includes pay, duration of working time, rest periods, breaks and annual leave.

- 9.3 Further guidance on the use of recruitment agencies is available in the Council's Agency Worker Procedure.

## **10. The Recruitment and Selection Process**

### **10.1 Vacancy Review**

- 10.1.1 A vacancy can exist as a result of an employee temporarily or permanently leaving an established post. It can also exist by the creation of a new post to provide a new service, to extend a service, or to support current employees.
- 10.1.2 A vacancy provides the opportunity to examine the needs of the Service Area and to redefine the duties of the vacant post to enable objectives to be achieved more effectively. The filling of a vacancy should be in line with the Councils Workforce Plan, and relevant Service/Business Plans.
- 10.1.3 Consideration should be given to options other than recruitment (eg redistribution/reallocation of duties). Where a post does need to be filled consideration should be given to whether it can be advertised as a part-time, job share, a career graded or temporary post if appropriate.

The duties and responsibilities of the post should also be reviewed and if significant changes are identified, the post should be re-evaluated using the council's scheme and a revised job description and person specification produced.

### **10.2 The Job Description and Person Specification**

- 10.2.1 The Job Description and Person Specification are essential pre-requisites for effective recruitment and selection. Without these documents the process would be unable to continue to the advertising or short listing stages.
- 10.2.2 All posts that are to be advertised must have an up to date Job Description, which is an accurate reflection of the post the Service Area is seeking to fill. It summarises the overall function and key responsibilities of the post holder. The job should be described in terms of its purposes and the specific results that job sets out to achieve.
- 10.2.3 The Person Specification should be developed detailing the Essential and Desirable requirements/criteria to enable the post holder to successfully undertake the duties and responsibilities detailed in the Job Description. In order to be appointed a candidate must meet the Essential requirements/criteria whilst

Desirable requirements are those that it would be advantageous for a candidate to possess.

- 10.2.4 It is critical to ensure the Person Specification, in particular, is accurate and includes the relevant competencies. The key competencies should be assessed against the Competency Framework.

### 10.3 **Vacancy Approval**

- 10.3.1 Where it is identified that a replacement is required or new post created, the Recruiting Manager must complete a Recruitment Requisition Form. This form must be authorised by the Head of Service, and Finance for budgetary provision. Insufficient information supplied on this form may delay Executive Management Team/Portfolio Holder approval which will delay the recruitment process.

### 10.4 **Advertising**

- 10.4.1 All vacant posts will be advertised internally initially for a minimum of **5** working days. This will help maximise equality of opportunity and provide employees with opportunities for career development, therefore maintaining the skills and expertise of existing employees.
- 10.4.2 In extenuating circumstances the need to advertise may be waived. For example, where positions may provide suitable alternative employment for existing staff whose posts have been identified for redundancy or following a restructuring exercise.
- 10.4.3 Where a suitable member of staff is not identified internally then posts will be advertised externally. All posts must be advertised externally normally for a minimum of **10** working days to attract the best pool of applicants.
- 10.4.4 Agreed external advertising costs shall be financed from the recruiting service and/or corporate recruitment budget.
- 10.4.5 All positions will be advertised using the most appropriate and cost effective medium to maximise the number of suitably qualified candidates. All advertising must be agreed in advance with Finance, the Executive Management Team and the Finance and Budget Management Portfolio Holder.
- 10.4.6 When a post becomes vacant which is similar to a post which has been advertised externally within the previous six months, the vacant post can either be advertised again, or the appropriate Head of Service can appoint one of the former applicants.

- 10.4.7 The six month period runs from the closing date for the initial applications. This approach is permitted only for the posts where the majority of the duties and responsibilities and the grade of the post are the same as those of the post previously advertised.
- 10.4.8 Where a post has been identified as a secondment opportunity the Recruiting Manager will complete the Recruitment Requisition Form in the normal way. The post will be advertised as an internal vacancy for a fixed term period. The recruitment process will be in line with this policy.
- 10.4.9 The Council may use an agency or external consultancy to assist in recruiting staff to senior management posts or where the vacancy is hard to fill.

## 10.5 Shortlisting

- 10.5.1 Shortlisting is the stage in the selection process during which all applicants for an appointment are considered against the requirements of the post which are detailed in the Person Specification.
- 10.5.2 Candidates for interview must be shortlisted against the criteria set out in the Person Specification for the vacancy. Shortlisting must be made by reference to the essential, and if necessary, the desirable criteria detailed in the person specification. No other criteria may be used.
- 10.5.3.1 It is unlawful to eliminate applicants from the shortlist on the grounds of:
- disability;
  - gender;
  - pregnancy;
  - sexual orientation;
  - race;
  - marital status;
  - religion or belief;
  - age; or
  - 'spent convictions' unrelated to the job.
- 10.5.4 Disabled candidates who meet the essential criteria of a Person Specification are guaranteed an interview in line with the "Two Ticks" Disability Symbol Scheme. Disabled candidates will be invited to inform the Council prior to interview whether they require any reasonable adjustments.
- 10.5.5 Short-listing should be carried out by at least two members of the interview panel who will agree the shortlisting criteria and weightings. Decisions about shortlisting should be entered onto a short-listing matrix.
- 10.5.6 Normally, no more than 5-7 candidates will be shortlisted for interviews. If the number of suitable candidates exceeds this

number the desirable criteria in the Person Specification can also be considered.

10.5.7 If a member of staff involved in the recruitment process has a close personal or familiar relationship with an applicant they must declare this as soon as they are aware of the individual's application. Under these circumstances it would be necessary for the member of staff to avoid any involvement in the recruitment and selection process.

## 10.6 Interview, Selection and Appointment

10.6.1 The interview panel must agree the methods by which it will assess and select candidates. There are a variety of methods available to help in the selection process which may include interviews, tests (practical or psychometric), assessment centres, role plays in-tray and team exercises. Candidates must be notified of the details of any test when they are invited for interview.

10.6.2 The process at each stage should be the same for each candidate. In addition marking criteria must be objective, and the assessment forms should be retained by the employing service in accordance with the Data Protection legislation for a period of 12 months. All methods of assessment will relate to the criteria in the Person Specification. A 'minimum score' should be identified with only candidates achieving the minimum score or above being considered for appointment.

10.6.3 Interview questions can address key competencies, skills or job outcomes and need not cover all elements of the Person Specification (many of which will have been considered already met at the shortlisting stage).

10.6.4 Assessment and selection methods will be designed to be free from unnecessary barriers or unjustifiable bias. The Council will endeavour to accommodate any special requirements of candidates with disabilities, and to make arrangements that facilitate accessibility.

10.6.5 The Equality Act 2010 limits the circumstances when an employer can ask general health related questions **before** a job offer has been made. Prior to making an offer of employment to an applicant, health related questions must only be asked to help the employer to:

- decide whether there is a duty to make any reasonable adjustments for the person to undertake any part of the assessment/selection process;



- decide whether an applicant can carry out a function that is essential (“intrinsic”) to the job once reasonable adjustments are in place;
  - monitor diversity among people making applications for jobs;
  - take positive action to assist people with disabilities;
  - be assured that a candidate has the disability where the job genuinely requires the jobholder to have a disability.
- 10.6.6 This means that applicants must not be asked, as a matter of course, to complete generic health questionnaires as part of the application process.
- 10.6.7 When assessing candidates with disabilities, it is a requirement to consider their suitability on the basis that any reasonable adjustments that may be required have been made. Similarly, if special equipment is required the candidate’s suitability must be evaluated on the basis that the equipment is in place.
- 10.6.8 Each member of the selection panel should score each candidate at the end of each interview privately before the overall scores are agreed collectively and the best candidate chosen. If additional selection methods are used, these should be fed into the decision making process at the end and the candidate who best meets the selection criteria chosen.
- 10.6.9 The selection panel should agree feedback for each candidate and record whether or not each candidate is suitable for appointment, even if not the first choice candidate.
- 10.6.10 Offers of employment should not be made at interview.
- 10.6.11 All candidates should be notified of the outcome of the interview as soon as possible. However, the selection panel should wait until the successful candidate has accepted the offer before informing unsuccessful candidates, unless they are clearly unsuitable for the post (ie they have not met the minimum assessment score).
- 10.6.12 All candidates must be offered feedback on their performance during the selection process and an explanation of the decision, if requested.
- 10.6.13 The initial job offer to the successful candidate will normally be made verbally and followed up in writing within seven working days stipulating that appointment is subject to satisfactory employment checks of:
- Two references
  - Medical fitness
  - Qualifications
  - An enhanced Criminal Record Bureau check (if relevant for the post)

- Proof of identity and eligibility to work in the UK
- Membership of any appropriate professional body

Original documents should be produced and a copy of these should be taken marked 'original seen', dated and initialled and kept on the successful candidate's personal file.

- 10.6.14 Further advice and guidance regarding any stage of the recruitment and selection process may be obtained from Human Resources.

## 10.7 Recruitment Documentation

- 10.7.1 Documentation relating to applicants will be treated confidentially and in accordance to the requirements of the Data Protection Act 1998.

- 10.7.2 Under the Data Protection Act, individuals have the right to access any documentation held relating to them in accordance with legislative requirements.

This includes assessment scores and notes made by staff involved in the selection process/interviews.

- 10.7.3 The Council has a responsibility to maintain a record for the complete recruitment process for a minimum of 12 months. The following should be recorded and retained by the employing service:

- assessments and selection criteria used (person specification);
- application of assessment and selection criteria (eg application form);
- interview and other selection method notes (eg question pro formas, test results);
- reasons for decisions made;
- any additional information such as copies of qualifications.

- 10.7.4 All recruitment paperwork relating to the successful candidate must be retained and placed on their personnel file.

## 11. Asylum and Immigration Act 2006

- 11.1 To comply with Asylum and Immigration Legislation any successful candidates will be required (if appointed), to provide one or more documents from the Immigration Act 2006. They must provide proof of current and valid permission to be in the United Kingdom, and valid permission to do the type of work offered.

- 11.2 Such action is applied to all successful candidates to avoid discrimination and is made on the basis that the Council will be

liable to a fine or prosecution for employing somebody who does not have permission to work in the United Kingdom.

## **12. Rehabilitation of Offenders Act 1974**

12.1 All shortlisted job applicants are required to disclose criminal convictions unless the conviction can be regarded as 'spent' under the terms of the Rehabilitation of Offenders Act 1974. If, due to the nature of the duties associated with the position applied for, the post is classed as a 'regulated post' ie it is excluded from the provisions of the Rehabilitation of Offenders Act, all applicants selected for interview are required to disclose *all* criminal convictions regardless of when they occurred.

## **13. Disclosure of Criminal Convictions**

13.1 For all posts considered to be regulated posts (**Appendix B**), including posts where employees (including casual employees) or volunteers have substantial opportunity for access to children/young people up to the age of 16 or vulnerable adults, an application will be made to the Criminal Records Bureau for an 'enhanced' disclosure.

13.2 This must be explained to the successful candidate when offering the appointment. The candidate should be informed why clearance is necessary and given an assurance that the process will be treated confidentially.

13.3 Any cautions/convictions disclosed will be checked against the CRB disclosure. A risk assessment will be undertaken in relation to the job related risk and a decision to appoint or not will be made based on the outcome of the risk assessment. Should candidates fail to disclose a caution or conviction which is recorded on the CRB disclosure, the offer of employment would be withdrawn.

## **14. References**

14.1 The purpose of seeking references is to obtain objective and factual information to support the selection panel's decisions. References should always be sought and obtained directly from the referee, not via the candidate themselves.

14.2 Ideally, references should be obtained for all shortlisted candidates, including internal ones, and should be obtained before interview so that any issues of concern they raise can be explored further with the referee and taken up with the candidate at interview. In exceptional circumstances, it might not be possible to obtain

references prior to interview, either because of delay on the part of the referee or because a candidate strongly objects to their current employer being approached at that stage, however that should be the aim in all cases.

- 14.3 A satisfactory reference should be obtained from the candidate's current or most recent employer and second reference which may be a character reference.

## **15. The Induction Process**

- 15.1 The Council recognises the importance of ensuring that all employees begin their employment with us in a positive and supportive environment. An Induction is the process of familiarisation with the organisation and settling into the job. It also ensures that all employees obtain a good understanding of how the Council works including our principles, values and objectives and that all employees have the knowledge and skills necessary to perform their role in a safe working environment.
- 15.2 Through the use of an effective induction programme and formal assessment of the employee during a six month probationary period, prior to confirmation in the post the likelihood of capability issues arising as a result of poor performance are diminished.
- 15.3 Use of the Induction Checklist (**Appendix C**) should commence before the new employee arrives and should be used throughout the six-month probationary period.
- 15.4 The Induction process often begins before the person has actually started, in that the Council will supply material as part of an initial information pack with the contract of employment.
- 15.5 It is also important where existing employees take on new roles that they are given additional support to settle in and understand their new responsibilities. Induction is essential to a successful probationary period.

## **16. The Complaints Procedure**

- 16.1 Any external applicants who wish to complain about their experience of the recruitment process where they believe they have been unfairly treated or discriminated against should use the council's complaints procedure.
- 16.2 Any existing employees who wish to complain about their treatment during the recruitment process should in the first instance raise the matter informally with the Recruiting Manager. If the issue cannot

be resolved satisfactory, the employee should use the council's Grievance Procedure.

## **17. Monitoring and Review**

- 17.1 Monitoring is an integral part of the council's policies and plans for equal opportunities, which seek to tackle any negative issues relating to equality and diversity. It is essential to monitor the recruitment and selection process to assist in the identification of any trends that indicate bias or unlawful or unfair treatment of individuals or groups of people at any stage.
- 17.2 Recruitment procedures and practices should be kept under review so as to ensure that this policy is being adhered to and to ensure that they do not include requirements or conditions that constitute, or may lead to, unlawful discrimination.
- 17.3 This policy will be reviewed on an annual basis and the content updated as necessary.

## APPENDIX A

### **A SCHEDULE OF POLITICALLY RESTRICTED POSTS**

All posts of Grade 12 or above plus specific posts restricted due to nature of duties.

#### **Chief Executive Directorate**

AA1	Chief Executive
BB4	Head of Business Improvement & Partnerships
BB13	Procurement Officer*
BB111	Community Safety Manager
BB47	Head of Communications
CC3	Head of Central Services
CC5	Principal Solicitor
CC6	Principal Solicitor
CC264	Solicitor*

#### **Resources & Support Services Directorate**

CC1	Executive Director – Resources & Support Services
CC136	Head of Finance
CC141	Finance Manager
CC147	Head of Human Resources
BB14	Audit Manager
CC164	Head of Revenues & Benefits
BB21	Head of Customer & ICT Services
BB120	ICT Operations & Development Manager
BB123	Customer & ICT Business Manager

#### **Operational Services Directorate**

DD1	Executive Director – Operational Services
DD60	Head of Leisure & Cultural Services
DD362	Leisure Strategy Manager
DD363	Sport & Active Lifestyle Manager
EE52	Head of Operations
EE82	Community Manager
EE76	Landscape Manager

EE138 Streetscene Manager (Operations & Performance)  
EE295 Head of Recycling Strategy & Fleet Services  
EE202 Recycling Strategy & Commissioning Manager

**Regeneration & Development Directorate**

BB1 Executive Director – Regeneration & Development  
DD361 Head of Planning & Development  
BB70 Planning Policy Manager  
DD312 Development Management Team Manager  
DD313 Urban Design/Conservation Officer\*  
EE10 Head of Assets  
EE67 Engineering Manager  
EE11 Property Manager\*  
EE12 Temporary Property Manager\*  
EE21 Facilities Manager  
DD20 Head of Environmental Health Services  
DD22 Environmental Health Team Manager  
DD30 Environmental Health Team Manager  
DD35 Environmental Health Team Manager  
DD51 Team Leader (Community)  
BB62 Head of Housing and Regeneration Services  
BB75 Regeneration & Economic Development Manager  
BB76 Principal Regeneration Officer  
DD42 Housing Manager  
DD43 Team Leader (Housing)

**\* Restricted due to nature of duties**

**NEWCASTLE-UNDER-LYME BOROUGH COUNCIL**

**Criminal Record Bureau and Independent Safeguarding Authority**

**Designated posts requiring criminal records checks**

CRB checks are required where the post or duties carried out are covered by the Exceptions Order to the Rehabilitation of Offenders Act 1974 or deemed to be a 'Regulated Activity' as defined within the Safeguarding Vulnerable Groups Act 2006 (parts 1 and 2 of Schedule 4 – Regulated Activity).

There are 2 levels of CRB disclosure – Standard and Enhanced.

An Enhanced disclosure is required if the post or duties involve contact with children or vulnerable adults and conform to the following conditions:-

A Regulated Activity, i.e. categorised as being –

- Activities of a specified nature, such as teaching, training, care, supervision, advice, treatment or transport of children or vulnerable adults

Or

- Activities in a specified place, such as schools, children's or adult care homes

AND the duties occur -

- Frequently: once a month, or
- Intensively: likely to occur on 3 or more occasions in a 30 day period, or
- Overnight: between 2.00am and 6.00am

The CRB Disclosure Access Category Code list shows the code allocated to the professions, employments, work and occupations that are known as the exceptions to the Rehabilitation of Offenders Act 1974 or the Regulated Activity relating to children or vulnerable adults as defined in the Safeguarding Vulnerable Groups Act 2006.

The Council can only apply for a CRB check if the position is included in this list.

Occupations/Professions within the Council which fall into the above categories and the appropriate disclosure access category code are shown below



Category Type	Code
Any work which is defined as regulated activity relating to children within the meaning of <b>Part 1 of Schedule 4 to the Safeguarding Vulnerable Groups Act 2006</b>	01
Any work which is defined as regulated activity relating to vulnerable adults within the meaning of <b>Part 2 of Schedule 4 to the Safeguarding Vulnerable Groups Act 2006</b>	02
Solicitor	12
Chartered Accountant, Certified Accountant	13
Traffic Warden (Civil Enforcement Officer)	35

Posts within the Council which are regarded as exempt from the Rehabilitation of Offenders Act 1974 and for which a STANDARD CRB disclosure is required:

<b>Chief Executive's</b>		Code
CC3	Head of Central Services	12
CC5/CC6	Principal Solicitor	12
CC264	Solicitor	12

<b>Resources and Support Services</b>		Code
CC1	Executive Director (Resources and Support Services)	13
CC136	Head of Finance	13
CC139	Finance Manager	13
All	Principal Accountant	13
BB14	Audit Manager	13

<b>Regeneration and Development</b>		Code
EE70	Civil Enforcement Supervisor	35
All	Senior/Civil Enforcement Officer	35

Posts within the Council which are regarded as regulated activity as defined within the Safeguarding Vulnerable Groups Act 2006 and satisfy the conditions set for which an ENHANCED CRB disclosure is required:

<b>Operational Services</b>		Code
<b>Leisure &amp; Cultural</b>		
DD60	Head of Leisure & Cultural Services	01
DD362	Leisure Strategy Manager	01
DD374	Business Development Officer	01
All Sports	Sport and Active Lifestyles Manager	01

& Active Lifestyles staff	Community Development Manager (Sport)	01
	Sports and Events Manager	01
	Football Development Officer	01
	Community Sports Leader	01
All Sports Centre staff	Operations Manager	01
	Aquatics Manager	01
	Aquatics Officer	01
	Sports Centre Manager	01
	Community Sports Officer	01
	Health and Fitness Manager	01
	Health & Fitness Officer	01
	Youth and Children's Officer	01
	Receptionist	01
	Centre Assistant	01
	Fitness Studio Instructor	01
All	Casuals/Volunteers	01
Museum	Culture & Arts Manager	01
	Museum Assistant	01
	Heritage and Learning Officer	01
	Visual Arts Officer	01
	Museum Assistant (Collections & Interpretation)	01
	Museum Attendant	01
All	Casual Museum Attendant/Learning Assistant/Volunteers	01
<b>Operations - Community</b>		
		<b>Code</b>
EE132/133	Technical Assistant	01
EE136	Environmental Officer	01
EE84	Parks Project Officer	01
EE105	Community Development Officer	01
All	Senior Ranger	01
All	Park Attendant (including Temporary and Casual)	01
<b>Operations - Streetscene (Operations &amp; Performance)</b>		
		<b>Code</b>
EE152	Streetscene Operative (Playground Engineer)	01
<b>Waste Strategy</b>		
		<b>Code</b>
EE252	Environmental Officer	01
EE280	Recycling Officer	01

<b>Chief Executive</b>		
<b>Business Improvement &amp; Partnerships</b>		
		<b>Code</b>
BB111	Community Safety Manager	01

BB86 & BB143	Community Safety Officer	01
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<b>Regeneration and Development</b>		
Environmental Health Services		
		Code
All	Environmental Health Officers/Technical Assistants	01/02
DD51	Team Leader (Community)	01
DD27	Health Promotion Officer	01
DD28	Food and Safety Assistant	01
DD52/53	Dog Warden	01
DD57/58	Community Warden	01
All	Environmental Warden (Pest Control)	01

Reviewed: September 2009  
January 2010 (to confirm category of post in relation to definition of exempted post/regulated activity/frequency etc  
April 2011 (EHO/Technical Assistants – frequently visiting vulnerable groups)  
Sept 2011 (Sport & Active Lifestyles structure)  
Sept 2012 (Job titles updated and posts re-ordered to reflect current departmental structures)



## INDUCTION CHECKLIST – New Starter

**NOTE:** This checklist indicates the minimum requirements for induction of all new employees. Completion is the responsibility of the Supervisor/Line Manager who should ensure they are familiar with the Manager's Guidelines.

<b>New Employee's Name:</b>		<b>Job Title:</b>	
<b>Directorate:</b>	<b>Service:</b>	<b>Post No.:</b>	<b>Payroll No:</b>
<b>Commencement Date:</b>		<b>Name of employee co-ordinating induction:</b>	

		Action taken by	Date completed
1.	<b><i>PRIOR TO COMMENCEMENT</i></b>		
1.1	Member of staff designated to meet new arrival		

1.2	Members of staff involved in induction process informed of actions required by them and when action is to be undertaken. (See Sections 2 - 8 below)		
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		Action taken by	Date completed
1.3	<p>New employee informed - where to report to</p> <ul style="list-style-type: none"> <li>- arrival time for first day</li> <li>- who to ask for</li> <li>- car parking arrangements</li> <li>- to bring emergency contact details</li> <li>- to bring original certificates for qualifications claimed (if not already received)</li> <li>- driving licence ( and HGV licence if appropriate)</li> </ul>		
1.4	<b>Any other issues specific to employing service</b>		
2.	<b><i>FIRST DAY OF EMPLOYMENT</i></b>		
2.1	Introduced to manager, immediate supervisor & work colleagues		
2.2	Checked Contract of Employment received		
2.3	Checked Health and Safety Policy and Health and Safety Handbook received. Refer new starter to the Human Resources pages of the Intranet for all employee policies & procedures		

2.4	Shown office layout - offices, toilets, drinks machine, printer/photocopier		
2.5	Emergency evacuation arrangements explained (what to do if you discover a fire/location of nearest fire alarm call point/sound of fire alarm/location of fire exits/evacuation guidance/assembly area)		
2.6	Car parking arrangements explained/permit issued		
2.7	Attention drawn/guidance given re all immediate health and safety hazards specific to employment. (Eg use of Personal Protective Equipment, display screen equipment, manual handling, accident reporting procedure, relevant health & safety signs etc)		
2.8	Any restricted areas indicated together with any processes/machines/equipment the employee is not allowed to use		
2.9	Security/pass card issued and door entry system explained		
2.10	Stationery, equipment, protective clothing etc issued		
2.11	Internal postal system explained		
2.12	Given names/telephone extension numbers of appropriate registered first aiders		
2.13	Given name/extension number of person to contact if absent from work		

2.14	Mitrefinch - Time & Attendance System explained		
2.15	Procedure for booking Annual Leave explained/booking this on Mitrefinch For further guidance refer New Starter to the Time Management System/Human Resources pages of the Intranet		
2.16	Procedure for booking car mileage explained/claim forms issued		
2.17	Made aware of Council Tax deduction facilities if resident in the Borough		
2.18	Computer login/PIN organised and information system access authorisations issued		
2.19	E-mail and Internet users - access authorisations issued		
2.20	Pay system - direct to bank explained - monthly pay date		
2.21	Explained that ID photo will also be placed on the Intranet and confirmed employee does not object to this		
2.22	Any other issues specific to Employing Service		



3.	<b>WITHIN ONE WEEK OF COMMENCEMENT</b>		
3.1	Relevant corporate aims, objectives and priorities outlined Departmental functions, objectives, organisation, structure and responsibilities explained Job role clarified		
3.2	Individual objectives clarified - probationary programme clarified, one, three and five month review meetings diarised, action plan agreed, training plan (formal and informal) devised, expectations with regard to general conduct explained		
3.3	Team Briefing arrangements explained		
3.4	Employee Performance Appraisal Interviews - arrangements explained		
3.5	Confirm employee has read and understood contents of the Health and Safety Policy, Health and Safety Handbook and Code of Conduct for Employees (each section should be covered to ensure that the employee has understood the contents and is also aware of their own responsibilities/obligations). Clarify if New Starter is familiar with the Human Resources Policies & Procedures located on the Intranet		
3.6	Attention drawn to/guidance given on the Council's Standing Orders, Financial Regulations, rules etc relevant to post		
3.7	Confirm the employee has read and understood the Anti Fraud and Corruption Strategy and knows what action to take if they identify potential fraud or corruption		

3.8	Confirm the employee has read and understood the Whistleblowing Policy and the action they can take if required		
3.9	Attention drawn to any safe systems of work relevant to appointment and guidance given/training initiated re any other health and safety policies and procedures relevant to employment		
3.10	Given names and contact details of all appropriate trade union representatives. This information is also located on the Intranet under Human Resources/Employee Benefits/Collective Bargaining		
3.11	Specific Performance Indicators explained (response times etc)		
3.12	Customer Complaints Policy explained		
3.13	Telephone facilities explained (call transfers, call backs etc) and departmental telephone answering style explained		
3.14	MFD location/operation explained		
3.15	Section/departmental filing system explained including Information @ Work if relevant		
3.16	Any other issues specific to Employing Service		

4.	<b>CORPORATE INDUCTION (To be attended within one month of commencement)</b>		
4.1	Corporate induction and health and safety induction session attended and Employees Information pack received		
4.2	Corporate use of e-mail/internet course attended		
4.3	Welcome meeting with Executive Director/Chief Executive* attended. * Chief Exec's Dept		

5.	ONE MONTH REVIEW MEETING
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Employee's name:		Job Title:	
Directorate/Service:		Post No:	Payroll No:
Commencement Date:		Line Manager:	

Objectives	How will this be measured?	Progress to date	Target date

30

Please assess how identified training needs are being met:

Development Activity/Required Outcome	Learning Activity	Progress to date

Please comment on the following:

Working relationships (team work/ interpersonal skills/communication skills)	
Quality and accuracy of work	
Time keeping	
Attendance	
General conduct/attitude	

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Please discuss the following:

Areas for improvement	
Areas of particular achievement	

Notes (Agreed actions/date/time of three - month review)

Notes -

Employee Comments:

Comments -

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Line Manager Name:	Signature:	Date:
Employee Name:	Signature:	Date

Please forward original to Human Resources (Payroll) for monitoring.

6.	THREE MONTH REVIEW
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Employee's name:		Job Title:	
Directorate/Service:		Post No:	Payroll No:
Commencement Date:		Line Manager:	

Please refer to the one-month review record when undertaking this meeting.

Objectives	How will this be measured?	Progress to date	Target date

Please assess how identified training needs are being met:

Development Activity/Required Outcome	Learning Activity	Progress to date

Please comment on the following, noting any improvement or deterioration from last meeting:

Working relationships (team work/ interpersonal skills/communication skills)	
Quality and accuracy of work	
Time keeping	
Attendance	
General conduct/attitude	

34

Please discuss the following:

Has progress been made towards improving performance? (If no, set objectives for improvement/ agree timescales)	
Areas of particular achievement	



Notes (Agreed actions/date/time of five month review)

Notes -

Employee Comments

Comments -

35

Line Manager Name:	Signature:	Date:
Employee Name:	Signature:	Date

Please forward original to Human Resources (Payroll) for monitoring.

7.	FIVE MONTH REVIEW
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Employee's name:		Job Title:	
Directorate/Service:		Post No:	Payroll No:
Commencement Date:		Line Manager:	

Please refer to the completed one-month and three-month reviews record when undertaking this five-month review.

Objectives	How measured	Objectives achieved? (If no, please specify why)

Please assess how identified training needs have been met:

Development Activity / Required Outcome	Learning Activity	Outcomes achieved? (If no, please specify why)

Please comment on the following factors, confirming whether or not performance has been satisfactory over the period of probationary service

Working relationships (team work/interpersonal skills/communication skills)	
Quality and accuracy of work	
Time keeping	
Attendance	
General conduct/attitude	

37

Please discuss the following:

Areas of concern (Please note any areas in which the employee has not yet achieved satisfactory performance)	
Areas of particular achievement (Please note any areas in which the employee has excelled during the probationary period)	

Notes (Agreed actions/date/time of six month review)

Notes -

Employee Comments

Comments -

38

Line Manager Name:	Signature:	Date:
Employee Name:	Signature:	Date

Please forward original to Human Resources (Payroll) for monitoring.

8.	SIX MONTH REVIEW
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Employee's name:		Job Title:	
Directorate/Service:		Post No:	Payroll No:
Commencement Date:		Line Manager:	

Please refer to the completed one-month, three-month and five-month reviews record when undertaking this final review.

Objectives	How measured	Objectives achieved? (If no, please specify why)

Please assess how identified training needs have been met:

Development Activity/Required Outcome	Learning Activity	Outcomes achieved? (If no, please specify why)

Please comment on the following factors, confirming whether or not performance has been satisfactory over the period of probationary service

Working relationships (team work/interpersonal skills/communication skills)	
Quality and accuracy of work	
Time keeping	
Attendance	
General conduct/attitude	

40

Please discuss the following:

Areas of concern. (Please note any areas in which the employee has not yet achieved satisfactory performance)	
Areas of particular achievement. (Please note any areas in which the employee has excelled during the probationary period)	

Summary of employee's overall performance:

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Employee Comments:

(Overall view of the job, work environment, working relationships etc)

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Is the employee's appointment to be confirmed?	Yes/No (Please delete as necessary)
--	-------------------------------------

Where performance is unsatisfactory, further meetings/correspondence will confirm the outcome of the probationary period.

Induction process completed:

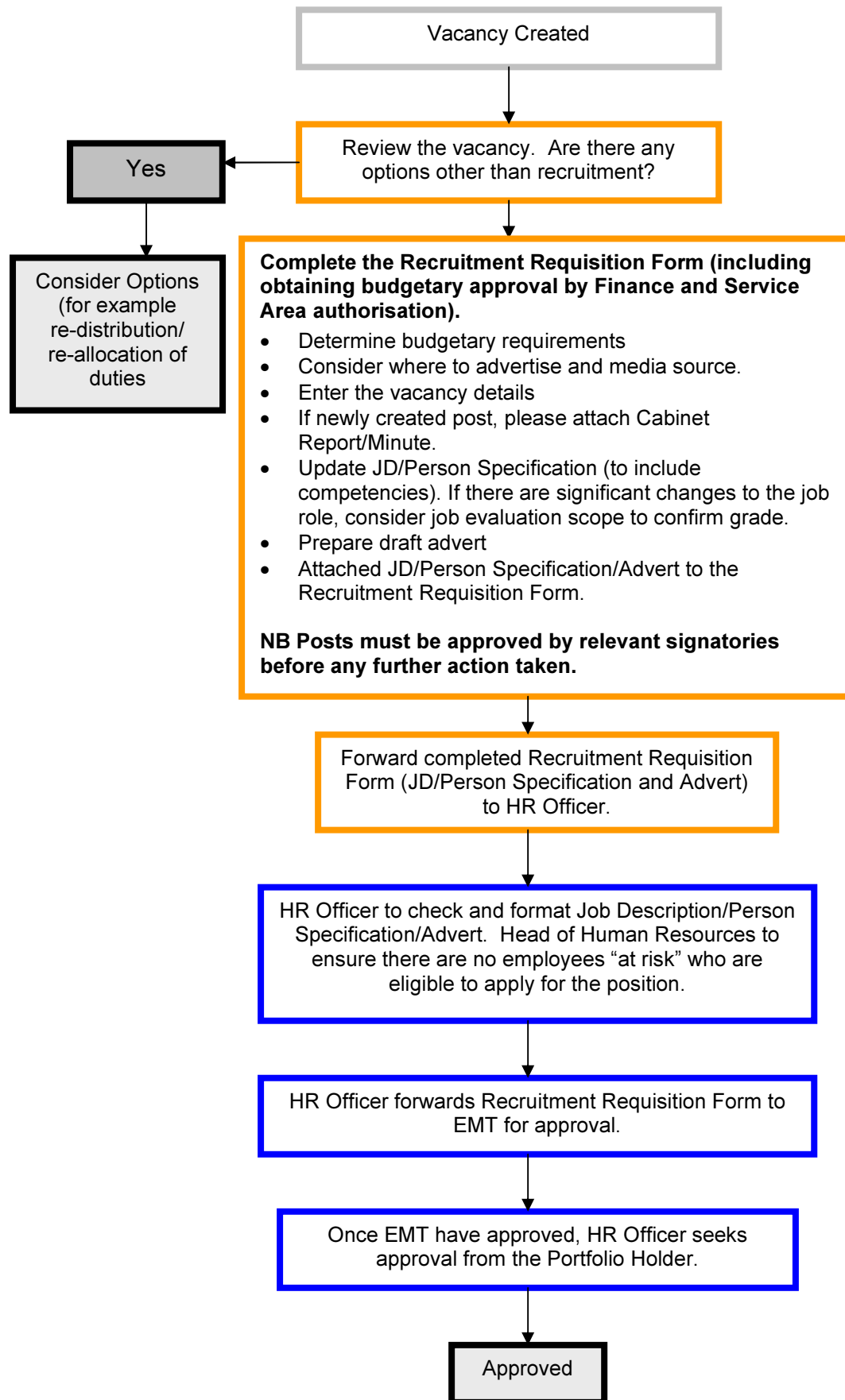
Line Manager Name:	Signature:	Date:
Employee Name:	Signature:	Date:

Please forward original to Human Resources (Payroll) for monitoring and to enable an appointment confirmation to be issued.  
January 2012



**RECRUITMENT AND SELECTION PROCEDURE**  
**FLOWCHART**





Vacancy Created

Review the vacancy. Are there any options other than recruitment?

Yes

Consider Options  
(for example  
re-distribution/  
re-allocation of  
duties

**Complete the Recruitment Requisition Form (including obtaining budgetary approval by Finance and Service Area authorisation).**

- Determine budgetary requirements
- Consider where to advertise and media source.
- Enter the vacancy details
- If newly created post, please attach Cabinet Report/Minute.
- Update JD/Person Specification (to include competencies). If there are significant changes to the job role, consider job evaluation scope to confirm grade.
- Prepare draft advert
- Attached JD/Person Specification/Advert to the Recruitment Requisition Form.

**NB Posts must be approved by relevant signatories before any further action taken.**

Forward completed Recruitment Requisition Form (JD/Person Specification and Advert) to HR Officer.

HR Officer to check and format Job Description/Person Specification/Advert. Head of Human Resources to ensure there are no employees "at risk" who are eligible to apply for the position.

HR Officer forwards Recruitment Requisition Form to EMT for approval.

Once EMT have approved, HR Officer seeks approval from the Portfolio Holder.

Approved

If the Council is going through a redundancy process, this vacancy will need to be primarily ring-fenced for those employees identified as being "at risk"

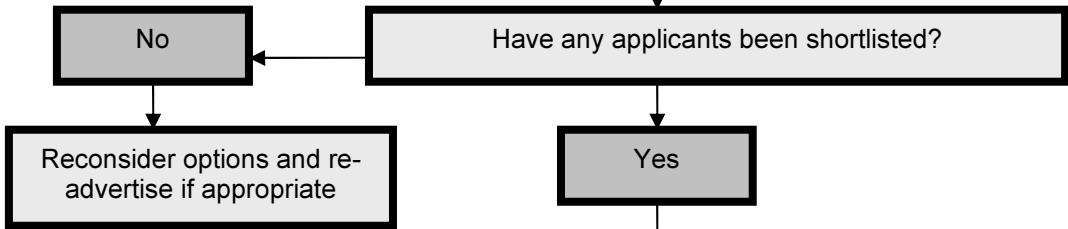
Human Resources will automatically advertise the vacancy internally on staff notice-boards/Intranet for **5** working days. The vacancy will also be issued to employees on long term sick and maternity or paternity leave. Where a suitable member of staff is not suitable internally, the post will be advertised externally for a minimum of 10 working days.

Recruiting Manager to arrange the dates for shortlisting and interviews with all panel members to avoid unnecessary delays and start to prepare for interview process.

Applicants will complete and return both the Application Form and Equal Opportunity Monitoring Form and return to Human Resources by 5pm on the closing date

After the closing date the Application Forms are issued to the Recruiting Manager/Interview Panel. (Equal Opportunity Monitoring Forms are detached). All relevant recruitment and selection documents can be located in the HR pages of e-Voice, Managers Toolkits, Recruitment and Selection.

The Recruiting Manager will complete a Short Listing Matrix. This form must be completed in conjunction with the Person Specification. At least one other member of the Interview Panel should be involved in the shortlisting process indicating who has been shortlisted and reasons why other applicants have not. The Recruiting Manager also needs to inform Human Resources of the interview date, names of the interview panel members and interview assessment methodology.



The Recruiting Manager notifies the shortlisted candidates of the interview arrangements by letter (and includes any necessary documentation ie Disclosure of Criminal Declaration Form 11a, and Map of Newcastle-under-Lyme Town Centre).

The Recruiting Manager will arrange a room to conduct the interview. (For test/in-tray purposes the Recruiting Manager will need to if applicable, contact ICT Services for any equipment required on the day).



