

**NORTHUMBERLAND COUNTY COUNCIL  
RECRUITMENT AND SELECTION CODE OF PRACTICE**

**ADOPTED BY QUEEN ELIZABETH HIGH SCHOOL AND HEXHAM MIDDLE SCHOOL  
NOVEMBER 2010**

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<b><u>Contents</u></b>	<b><u>Page Number</u></b>
List of Appendices	2
Introduction	3
Legal Considerations	3
The Appointing Officer	4
The Exit Interview	4
Job Description and Person Specification	5
Recruitment Process	6
The Application Form	7
The Appointment Panel	8
Advertising	8
Treatment of Applications	10
References	11
Shortlisting	13
Selection Methods	14
The Interview	15
Deciding who to appoint	17
Offer of employment	17
Keeping Records	18
Monitoring, Evaluating and Improving Recruitment	19
Procedure for Handling Complaints	19
Glossary of Terms	20

## APPENDICES

Termination of Employment Statement	A
Job Description	B
Person Specification	C
Executive Objections Form	D
Recruitment Advertisement Approval Form	E
Reference Request Proformas	
Professional Reference	F
Professional Reference for staff working with children	G
Personal Reference	H
Personal Reference for staff working with children	I
Shortlisting Matrix	J
Question & Answer Template	K
Questions not to ask	L
Recruitment Complaints Procedure	M
Immigration, Asylum and Nationality Act 2006 – Instructions for Appointing Officers	N

## 1. INTRODUCTION

The Council is committed to ensuring high quality and responsive services. In pursuing this aim the Council is determined to make the best use of resources by continuously improving efficiency and ensuring value for money. This policy covers all employees of the Council, with the exception of Firefighters.

Employees are the Council's principal resource and through their individual and collective performance it is able to achieve its aims. Good quality recruitment and selection is essential whether filling a casual vacancy or the most senior of posts. Recruitment is an expensive process, therefore great care and attention is needed to make the process efficient and cost effective.

The Council is committed to equality in employment. It continually strives to maintain its reputation as a good employer and to be an example to other employers in the area. The manner in which employees are recruited is key to upholding these principles and to the fostering of a positive image of the Council.

The Council is also committed to safeguarding and protecting the welfare of children and vulnerable adults and expects all staff and volunteers to share in this commitment

The Code encompasses the different Council policies and procedures relating to recruitment and selection, including the various Equality Schemes it has adopted. It also reflects relevant legislation, regulations and related Codes of Practice together with best practice.

This Code is intended to assist those managers and others involved in the various stages of the recruitment and selection process.

## 2 LEGAL CONSIDERATIONS

**Equalities Legislation** – Employers must not discriminate, either directly or indirectly, against people because of their sex, sexual orientation, race or ethnic origin, disability, age, religion or belief. This applies to all aspects of the recruitment process.

**People with a Disability** - An employer must make reasonable adjustments in the recruitment and employment of disabled people. This can include adjustments to recruitment and selection procedures, working arrangements and physical changes to premises or equipment.

**Safeguarding Children** - This guidance sets out the safeguarding responsibilities of Local Authorities and schools and complies with the DfES guidance on safer recruitment and selection in education settings. It is a legal requirement that all new appointments to schools require the appointed applicant to obtain an enhanced certificate of disclosure from the Criminal Records Bureau. In addition schools are required to maintain a single central record of recruitment and vetting checks undertaken.

**Preventing Illegal Working** – Only applicants allowed to work in the UK can be appointed.

**Data Protection** – People applying for jobs have a legal right to see interview notes under the Data Protection Act 2001.

**Political Restrictions** – Employees appointed to posts at National Joint Council for Local Government Services (“Green Book”) salary scale point 44 or above are politically restricted (not able to take part in political activities or take up a political office, for example, as a member of parliament). Various other specific posts are also designated as politically restricted, if in doubt; seek advice from the Human Resource Service, Corporate Services, Performance Group.

**Working Time Regulations** – The working time regulations state that workers over the age of 18 must not work (on average) more than 48 hours a week (40 hours a week for people under 18). It

is the Council's policy that "opt outs" are not allowed, therefore appointed staff cannot work over 48 hours a week.

### **3. THE APPOINTING OFFICER**

An Appointing Officer is responsible for co-ordinating recruitment to a particular post each time a vacancy occurs.

#### **Appointing Officers**

Appointing Officers should have some line management responsibility for the vacant post. They should have attended the Equality and Recruitment Skills Course; otherwise they should be familiar with the Council's Diversity and Equality in Employment Policy and this Recruitment Code of Practice.

#### **Duties of an Appointing Officer**

- To familiarise themselves with this Code of Practice.
- Recommend an exit interview is carried out.
- Examine whether the vacancy needs to be filled.
- Review the job description, person specification, grade and terms and conditions applying e.g. car user designation.
- Co-ordinate the recruitment and selection process; identify who should be involved, assign responsibilities and setting aside sufficient time to ensure that safeguards are not skimmed or overlooked.
- Ensure all legislation and procedures contained within the Code are adhered to, e.g. CRB, List 99, document checks required by the Asylum and Immigration Act 1996.
- Ensure that the appropriate appointment pro forma is completed and returned to Employee Services, Financial Services, Performance Group.
- Maintain close links with other interested parties. This may include the line manager, the interview panel and the applicants themselves.
- Verify the eligibility of panel members in terms of appropriate training.
- Ensure in so far as possible the appointment panel has a balanced gender/racial etc. make up
- Verify that the successful applicant has any vocational and/or academic qualifications claimed
- Obtaining and scrutinising comprehensive information from applicants, including checking on previous employment history and experience and taking up and satisfactorily resolving and discrepancies or anomalies.
- Obtain medical clearance

### **4. THE EXIT INTERVIEW**

Managers/Headteachers should, whenever possible and appropriate, conduct an exit interview in private with the employee who is leaving. In all cases the Manager/Headteacher must complete a Termination of Employment Statement (see Appendix A). The completed form should be returned to the Employee Services, Financial Services, Performance Group.

#### **Benefits of an Exit Interview**

- It establishes a clear understanding of the reason for leaving.
- Provides information to review and update the job description and person specification.
- Obtains information on which to consider the appropriateness of grade and other terms and conditions.
- Maintains a good employer image by showing interest in the outgoing employee's views and encouraging a valued employee to return at a later date.
- In some cases, succeeds in retaining the services of a valued employee by identifying problems and taking remedial action.
- Enables the identification of any trends.
- Provides essential monitoring information.

## Conducting an Exit Interview

- The exit interview should normally be carried out by the immediate line manager.
- If the leaver requests it, they should have the alternative of being interviewed by another suitable officer or a member of the Human Resource Service, Corporate Services, Performance Group.
- The interview should be conducted as soon as possible after the resignation notice is received to ensure that information is fresh and to improve the possibility of retaining a valued employee by identifying and taking remedial action.
- The interview should be conducted in a suitably quiet location and in a sensitive manner.

## 5. JOB DESCRIPTION AND PERSON SPECIFICATION

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. It is critical to ensure the person specification, in particular, is accurate as this forms the basis for selection.

Copies of the standard job descriptions and person specifications adopted by the Council, together with further guidance on their completion are attached as Appendices B and C. It is recommended that this general format is adopted to ensure consistency throughout the Council.

### Purpose of the Job Description

In terms of recruitment and selection, the job description:

- Specifies the overall purpose of the job;
- Details the duties and main responsibilities of the post;
- Provides a basis for determining the person specification;
- Assists in the preparation of the job advertisement; and
- Provides a basis for determining the grade of the post and other terms and conditions.
- For posts based within a school must include a statement about the school's commitment to safeguarding children and young people, i.e. "We are committed to safeguarding children and young people and expect all staff and volunteers to do the same"
- If the Service is registered by Ofsted or another regulatory body ensure that the job description reflects the National Minimum Standards for children's or vulnerable adults' residential care.

### Purpose of Person Specification

In terms of recruitment and selection, the person specification:

- Lists the essential and desirable criteria for the job;
- Assists in the preparation of the job advertisement;
- Enables prospective applicants to assess themselves against the job requirements;
- Provides a basis for determining selection methods;
- Assists in the preparation of core interview questions; and
- Helps to determine the grade for the post.
- Must include as essential criteria – no adverse criminal record
- For posts based within a school must include as essential criteria the statement about the school's commitment to safeguarding children and young people, i.e. "We are committed to safeguarding children and young people and expect all staff and volunteers to do the same"
- It is essential to get this right as it will be evidence that the "best person for the job" was recruited i.e. the person who best meets the criteria for the job.

## **Preparing Job Descriptions and Person Specifications**

- The line manager should prepare the first draft and consult interested parties, including in some cases the current post holder, before producing a finalised draft.
- Care must be taken to avoid any ambiguity in the content of either documents and to ensure that all requirements are objectively justifiable, accurate and non-discriminatory.
- Both documents should be reviewed each time a post becomes vacant.
- Care should be taken to ensure the Council's usual format/arrangements are adhered to and if necessary advice should be taken from a member of the Human Resource Service, Corporate Services, Performance Group.

Once the job description and person specification have been finalised, the Appointing Officer in consultation with the Human Resources Service, Corporate Services, Performance Group will agree the

- Hours of work, shift patterns, flexible working arrangements and any special conditions;
- Salary and grade, in consultation with the Human Resource Service, Corporate Services Department, Performance Group and special provisions linked to progression
- Grading of posts must be established by the Human Resource Service, Corporate Services Department, Performance Group, with the exception of those posts within Children's Services which are graded by the Children's Services Pay Group;
- Car user designation;
- Political restriction (Local Government and Housing Act 1989);
- Whether Genuine Occupational Requirement and Genuine Occupational Qualification applies e.g. Equalities Legislation including sex, sexual orientation, race or ethnic origin, disability, age, religion or belief.
- Requirements of the Rehabilitation of Offenders Act 1974 and the need for any CRB disclosure or additional safeguarding measures.

It is best practice to keep a file note of all agreed terms which should be retained for use in the event of a later enquiry.

## **RECRUITMENT PROCESS**

### **6. ON LINE RECRUITMENT**

Well prepared and attractively produced on line information will

- Enhance the applicant's overall impression of the Council and of the individual Group, Department and Service.
- Enable applicants to self select and therefore either pursue their application with greater vigour or withdraw and avoid wasting time;
- Encourage the quality of information returned by applicants to be more relevant and therefore easier to assess against the requirements of the job.

Managers/Headteachers need to make plans to provide packs in a number of different formats if requested, including large print, audio and Braille and in different languages, where appropriate. For further advice please contact the Human Resource Service, Corporate Services, Performance Group.

Job information is available on the Council's website. This will help to reduce recruitment costs and can provide access to the visitor information which may attract potential candidates.

Occasionally there may be difficulties with recruitment of specific skills. The Human Resource Service, Corporate Services, Performance Group can assist in developing specific strategies to overcome these difficulties. An example of this is the successful Essentials Campaign which operates in the Facilities Management Service, Place Group.

A copy of the information pack should be retained on file for future reference.

The on line information will vary according to the level and nature of the post. However, the following content is required for all posts:

- Application form, including guidance notes;
- Recruitment monitoring form;
- Job description and person specification;

Supplementary Information may include the following

- An outline statement of terms and conditions of employment;
- Supplementary information about the Group, Department, Service and job
- Safeguarding Statement
- Equal Opportunities Data collection is part of the on line application. For further information please refer to the Diversity in Employment Policy; <http://pscm.northumberland.gov.uk/pls/portal92/docs/11347>
- Supplementary documents such as those relating to statutory declarations in respect of the Rehabilitation of Offenders Act 1974 and the need for any criminal records disclosure can be found on the Northumberland website. <http://pscm.northumberland.gov.uk/pls/portal92/docs/24143> .
- Any post exempt from the Rehabilitation of Offenders Act 1974 will be provided with a copy of the Criminal Records Policy.
- "Welcome to Northumberland" booklet;
- The recruitment and selection schedule of dates;
- An organisation chart.

Further guidance concerning the design and content of information packs is available from Employee Services, Financial Services, Performance Group.

## **7. THE APPLICATION FORM**

### **Key Points**

- Candidates can complete or download an application form online from the Northumberland Portal Website alternatively a word version of the application form is available from the Council's website <http://www.jobsnorthumberland.co.uk/>
- The job application form is a vital component in the recruitment and selection process
- A small range of application forms is approved for use in relation to different employment groups. Only these forms can be used and each applicant for a particular post should be sent the same form.
- Special versions are available for people with disabilities including versions in large print (16 point), audio (standard analogue cassette), Braille, and Word or HTML formats.
- No modifications to these formats by applicants can be accepted.
- Supplementary sheets may be attached to the application form provided the information requested is relevant and non-discriminatory in content. The Human Resource Service are available to advise as required.
- Curriculum vitae (CVs) should not be accepted as a substitute for a completed application form, because it will only contain the information that the applicant wishes to present and may omit relevant details.
- Previously completed application forms should not be used unless the same or very similar post is involved and the vacancy occurs within a period of four months. The applicant must be contacted to confirm their interest and be given the opportunity to complete a new application form.
- Appropriate administrative arrangements should be put in place to guard against unauthorised access, disclosure or loss of the personal information obtained during the recruitment process. Appointing Officers should ensure that such information is treated confidentially and securely filed when not in use in accordance with the Employee Records Code of Practice. <http://pscm.northumberland.gov.uk/pls/portal92/docs/17220>

Policies & Procedures/Management/Staffing/Recruitment & Selection Code of Practice

## 8. THE APPOINTMENT PANEL

It is the policy of the Council that recruitment and selection is always conducted through a panel as this approach is most likely to result in good quality and fair decisions.

### Key Issues

- The Appointing Officer should agree the composition of the Panel as soon as possible after the decision to recruit is taken.
- The Panel should contain sufficient collective experience to enable accurate and fair assessments of applicants.
- The Panel should stay intact throughout the recruitment and selection process.
- Panels should normally comprise of two or three members.
- Wherever practicable, membership should include a suitable gender and race mix.
- Elected Members will appoint to posts of Chief Officer and appropriate Deputy Chief Officer posts only.
- Ideally all panel members, including Elected Members, should have attended the Equality and Recruitment Skills course. As a minimum all panel members must be familiar with the Council's Diversity and Equality in Employment Policy and this Recruitment Code.
- Departments are encouraged to release staff to attend Equality and Recruitment Skills Course and the refresher courses, arranged by the Corporate Services Department, for panel members who received their training more than three years ago.
- Some senior appointments are subject to an "Executive Objections" procedure. Further information on posts that are affected by this procedure is available from Legal Services, a copy of the Executive Objections form is attached as Appendix D. For advice on all senior management recruitment and selection processes please contact the Human Resource Service, Corporate Services, Performance Group.

### Duties of the Appointment Panel

- Assisting the Appointing Officer to agree the recruitment and selection strategy, methods and timing.
- Reviewing the job description and person specification, the information pack, advertisement design, etc.
- Ensuring that any special needs requested by individual applicants are met as far as is reasonable.
- Drawing up a shortlist.
- Interviewing applicants and, as appropriate, agree other selection methods to be applied e.g. presentations.
- Reviewing all the information and form a consensus about who to appoint.
- Ensuring appropriate documentation and records are treated confidentially and securely maintained.
- It is essential that appointment decisions are maintained and accurately recorded as this will form evidence to demonstrate the recruitment and selection process is fair should there be a challenge.
- Ensure that for posts based within a school the applicant's suitability to work with children is fully explored.

## 9. ADVERTISING

The prime purpose of the job advertisement is to attract a suitable number of appropriately qualified and experienced people to apply for a vacancy and to achieve this in a cost effective way.

Its quality should project a positive image of the Council and of the employing Group, Department and Service. It should therefore be accurate and concise and should, if appropriate, be suitably placed in the media to achieve the desired response. Following the standard corporate design layout.

## **Advertising Procedure**

- Appointing Officers should familiarise themselves with the Diversity and Equality in Employment Policy and the corporate design for advertising before drafting or placing advertisements.
- The Recruitment Advertisement Approval form needs to be completed before any advertising can take place, (see Appendix E).
- Any vacancy vetting procedures that are in place need to be followed before any advertising can take place.
- The Diversity and Equality in Employment Policy requires that all vacancies be advertised internally and externally concurrently except where the redeployment of existing employees takes priority or where the Director of Corporate Services has agreed an exemption.
- External advertising should not unreasonably or unfairly restrict applications to a pool of likely candidates.
- All job vacancies, with certain approved exceptions, are automatically notified to the Job Centre.
- All internal advertisements and vacancy bulletins will indicate that all candidates will receive fair and equal treatment.
- A copy of the Recruitment Advertisement Approval Form approval form, job description, person specification, proposed job advertisement and names of Panel members should be forwarded to the Employee Services, Financial Services, Performance Group. The submission of good quality documentation will ensure that advertisements can be placed without delay.  
When documentation is received by the Employee Services, Financial Services, Performance Group an advertisement will be included in the internal vacancy list. Any external adverts will be subject to the publication deadlines of the relevant newspaper or external publication.

## **The Employee Services, Financial Services, Performance Group will:**

- Offer advice on the generic layout and style of job descriptions and person specifications to ensure they are correct in accordance with legislation, policies and procedures and consistent with the documentation for other posts held centrally. If further advice is needed please contact the Human Resource Service, Corporate Services, Performance Group.
- Liaise with the Appointing Officer and the advertising agents employed by the Council to ensure the advert is consistent with policy and legislation.
- Undertake a search to identify any staff who are eligible for alternative employment and may be considered for the post under the terms of the Alternative Employment Scheme.
- Include the advertisement in the weekly job vacancy bulletin; and
- Arrange for the placing of the checked advertisement copy with the appropriate media through the advertising agents employed by the Council.
- Provide the Appointing Officer with a suitable appointment form in order that the newly appointed employee can be set up on the Integrated Payroll and Personnel system.

## **The Choice of Media and Timing**

The following points need to be borne in mind when selecting media and in deciding when to advertise:

- The best designed and well prepared advertisements will fail if placed in the wrong publications or at the wrong time e.g. during a popular holiday period;
- The cost of failure can be significant.
- Up to date information can be obtained by liaising with Employee Services, Financial Services, Performance Group regarding circulation and readership statistics for newspapers, magazines and professional journals; copy deadlines and the approximate costs of advertising.
- As the situation is constantly changing, Appointing Officers may wish to consult the Employee Services, Financial Services, Performance Group regarding the choice of media and arrangements for advertising.

- Applicants should be given at least two weeks between the date the advertisement is published and the deadline for replying although at certain times of the year the response time may need to be extended; and
- The timing of advertisements and the fixing of response times requires careful planning.

### **Advertisement Design**

- A standard composite advert has been designed for use throughout the Council, which links to the website (see paragraph 9).
- The content of the job advertisement must be accurate, clear and concise.
- Avoid the use of jargon.
- The content must be consistent with the details contained in the job information, available on the Council's website. Appointing Officers should carefully check for consistency.
- Using old advertisements can be extremely risky as things often change.
- It is unlawful for advertisements to discriminate directly or indirectly on equality grounds such as sex, sexual orientation, race or ethnic origin, disability, age, religion or belief, except in the case of a genuine occupational requirement or genuine occupational qualification.
- Where staff are employed to work with children or vulnerable adults the advert should contain a statement about the employers commitment to safeguarding and promoting the welfare of children and reference to the need for the successful applicant to undertake an enhanced Disclosure via the CRB.
- Advertisements can include "positive action statements" to encourage applications from individuals from under-represented groups.
- The Human Resource Service, Corporate Services, Performance Group provides advice on recruitment advertising, covering the law, corporate guidance and good practice.

### **Advertising**

- All teaching vacancies are advertised nationally, locally and internally using TES HireWire, the Local Authority and QEHS websites.
- Support staff posts are advertised internally, locally and regionally through the local newspaper and the LA and QEHS websites.
- Promoted posts may be advertised internally only where there is no vacancy on the staff (e.g. Learning & Guidance Co-ordinator)

## **10. TREATMENT OF APPLICATIONS**

### **Key Issues**

- Many applicants will have invested a significant amount of time and effort in responding. It is therefore only courtesy that they should be communicated with promptly and that their applications receive fair and proper consideration.
- Applications should be dealt with responsively and in a sensitive and helpful manner.
- Job Centres require evidence of active job search such as replies from employers to letters of application.
- For reasons of economy applicants may be informed that acknowledgement of applications is conditional upon the applicant enclosing a stamped self-addressed envelope.
- For similar reasons it is acceptable to advise applicants that they should regard their application as being unsuccessful if they have not been contacted by a certain date.
- Alternative arrangements may be made provided they apply to all applicants for a particular post.
- Applications received after the closing date should not normally be accepted.
- At the discretion of the Appointing Officer, an exception may be made in order to receive all late applications up to the commencement of short listing. This may occur, for example, where applicants have been late to see the advertisement and have made verbal contact before the deadline and undertaken to return the application within an agreed time.

## Applicants with Disabilities

- The Council has a duty to make reasonable adjustments to accommodate applicants with disabilities.
- The application form poses two questions a) what adjustments will help you with your employment application? and b) what adjustments would you require to help you do the job for which you are applying?
- The Appointing Officer must ensure that the selection process agreed with the panel has due regard for the requirements of individual applicants.
- A "Guaranteed Interview Scheme" is operated by the Council. Under this scheme an applicant with a disability will be guaranteed an interview provided they meet the essential criteria for the job. This complies with the requirements of the double tick award to which the Council subscribes.
- When an application is submitted in a special format, the Appointing Officer needs to consider how it can be processed. For ease of use and consistency it may be decided to transcribe the application on to the standard application form. Braille applications will need translation.
- The Council can seek advice and support from the Department of Employment and Learning regarding the Access to Work Scheme. This Scheme can provide financial and other support with the employment of a person with a disability who may be unable to undertake the full range of duties normally required for the job.
- Advice on issues relating to applicants with disabilities is available from the Human Resource Service, Corporate Services, Performance Group.

## Flexible Working Arrangements

- Appointing Officers should familiarise themselves with the Job Share Scheme and how job share affects the recruitment process.
- Appointing Officers should also be familiar with other forms of flexible working available to employees. e.g. Work Well.
- All applicants are advised how to access the Job Share Scheme, Flexible Work Scheme and Notes of Guidance.

## Casual Enquiries

Casual enquirers should be advised that it is the Council's practice to consider applications in response to advertisements for specific vacancies and encouraged to apply for future vacancies. If vacancies are likely to occur in the near future they should be advised when and where they are likely to be advertised. All casual enquirers should be advised of the Council's Website and the Council's Essentials Campaign.

## 11. REFERENCES

### Key Issues

- Directorates have discretion to decide the most appropriate point to take up references. For posts based within a school it is recommended that references are obtained before interview so any issues of concern can be explored further with the referee, and taken up with the candidate at interview.
- For some posts based within the People Group it is recommended that all references must be taken up for all candidates prior to interview in order to comply with the Warner recommendations. For further information please contact the Human Resource Service, Corporate Services, Performance Group.
- It is essential that all pre employment checks such as medical, criminal record and other references are checked and cleared before an appointment is confirmed and the individual commences work. If it is not practical to process a satisfactory CRB check prior to the commencement of employment it may be possible for the individual to start work for posts based within a school under respite measures.
- Only in **exceptional** circumstances when the delivery of services will be affected and all other alternatives have been considered can respite measures be used. Respite measures do not apply to high risk areas such as caretaking. The discretion to allow an

individual to commence work prior to receiving CRB Disclosure lies solely with the Headteacher and is subject to all other pre-employment checks being complete personalised risk assessment being carried out by the employee's manager together with appropriate supervision by the Manager until the satisfactory check is received. Full details are contained in the CRB policy <http://pscm.northumberland.gov.uk/pls/portal92/docs/24143> or further advice contact the Human Resource Service, Corporate Services, Performance Group.

- An offer of employment made before references have been checked and cleared must indicate clearly that it is conditional upon clearance.
- Under no circumstances should open references be accepted as they are likely to be of a general nature, contain irrelevant information and may be out of date.
- Referees should be asked to provide written references, using one of the appropriate reference pro forma at Appendices F,G,H,I.
- Referees should not normally be a relative of the applicant
- Referees should be provided with a copy of the job description and person specification and asked to comment on specific matters relevant to the applicant's ability to undertake the job to the required standard. The reference request should remind the referee that they have a responsibility to ensure that the reference is accurate, that relevant factual content of the reference may be discussed with the applicant and they may be subsequently contacted for clarification of any part of a reference. In addition the referee should be advised that if the applicant, is successful in obtaining employment they may have the right to gain access to this confidential job reference. The specimen reference pro forma are at Appendices F,G,H, I and should be used on all occasions.
- Whilst verbal-only references are not advised, it is acceptable for a referee to be contacted for an initial discussion but this should always be followed up with a request for a written reference. A note should be made of what has been said.
- Applicants are required to identify two referees, one being their existing or, if they are currently out of work, their last employer. When an applicant is in employment they should be consulted about the timing of the approach to their employer.
- Written references should also be obtained for internal applicants
- For staff who are eligible for redeployment it is not necessary to provide two referees however a written reference should be sought from their existing manager.

**For all posts based in schools employees will work with children, to comply with the Safeguarding Children guidance requests for references should ask the following:**

- About the referee's relationship with the applicant, for example, the nature of any working relationship, how long the referee has known the applicant and in what capacity.
- Whether the referee is satisfied that the person is suitable to work with children and, if not, request specific details of the referees concerns and the reasons for these.

**Where the referee is the applicant's current or previous employer in work with children, it should also ask:**

- Confirmation of the applicant's current post, employment dates, position held, salary and sickness record, specific variable comments about the applicant's performance history and conduct.
- Details of any current disciplinary procedures the applicant has been subject to in which the disciplinary sanction is current.
- Details of any disciplinary procedures the applicant has been subject to involving issues related to the safety and welfare of children or young people including any in which the disciplinary sanction has expired and the outcome of those; and
- Details of any allegations or concerns that have been raised about the applicant that relate to the safety and welfare of or behaviour towards children or young people and the outcome of those concerns, for example whether or not the

- allegations or concerns were investigated, the conclusion reached and how the matter was resolved (see pro formas at Appendix F,G,H,I ).
- All references should be treated confidentially and securely filed when not in use. Appointing Officers must take account of the requirements of the Data Protection Act 1998, in accordance with the Employee Records Code of Practice. More information can be found on Employment References <http://pscm.northumberland.gov.uk/pls/portal92/docs/11389>.

### **Applicants Related or Well Known to Elected Members or Senior Officers**

Careful consideration of this recruitment code should reduce any risk of bias. However, Appointing Officers should take all reasonable steps to ensure the selection process is impartial.

It is in the interests of the applicant and of the Elected Member or Senior Officer to act in such a manner as to avoid the risk of innuendo or unfair accusations.

The respective parties are advised to declare their interest so it is known to other panel members. In these situations the other panel members may assist by taking a lead on shortlisting, or in questioning during the interview.

### **Canvassing**

Canvassing by or on behalf of applicants could lead in the applicant being disqualified. If canvassing comes to light the party concerned should be asked to refrain and informed of the possible consequences of their action.

## **12. SHORTLISTING**

### **Key Issues**

- Shortlisting is the process by which applications are reviewed to identify those warranting further consideration.
- The exercise is conducted by the appointment panel, who may in certain cases be assisted by a human resource specialist.
- Pre-requisites for good quality shortlisting are a well prepared person specification and trained shortlisters.
- Sufficient time should be allocated to the process as a significant number of recruitment complaints relate to this stage in the process.
- Panel members should use a shortlisting matrix. An example is attached as Appendix J.
- Panel members should see every application form together with any relevant supporting documents.
- Panel members should work separately when assessing applications and individually draw up a draft shortlist. The panel should then meet, and following discussion, agree the final shortlist.
- A panel may exceptionally undertake the shortlisting as a group. However, this approach is not recommended since without personal reflection, group pressure and time limitations may detrimentally affect the shortlisting quality.
- Any differing views between panel members should be discussed and resolved by re-examination of applications so that a consensus is reached.
- Only applicants meeting the essential criteria contained in the person specification should be shortlisted. Should too many applicants meet the essential criteria, shortlisting should proceed by considering the desirable criteria in the specification.
- The Panel must assume that the adjustments required by applicants with disabilities in order for them to carry out the job are reasonable. If this is not the case further advice is available from The Human Resource Service, Corporate Services, Performance Group. The Panel must assess the applicant's ability to do the job with the benefit of those adjustments. and ensure that the adjustments will be put into effect,
- Panel members must ignore sex, sexual orientation, race or ethnic origin, disability, age, religion or belief unless a genuine occupational requirement or genuine occupational qualification applies.

- Where a panel decides that no applicant meets the essential criteria, a decision is required to re-advertise or, in exceptional circumstances, to consider applicants with less than the specified requirements, knowing that training and other support will be needed following appointment. In the latter event, all applicants should be reconsidered against the revised criteria.
- Where only one applicant satisfies the essential criteria, the selection process may go ahead or alternatively the panel may decide to re-advertise the vacancy.
- Shortlisted candidates should be notified in writing and advised about the arrangements for the next step in the selection process.
- The Appointing Officer should establish and then confirm with an applicant with a disability any special arrangements or adaptations that are required at the various stages of the selection process. Wherever possible, correspondence should use the same format as used by that person.
- The Panel for reasons of consistency should nominate one of their number to provide oral feedback to unsuccessful applicants. This task requires considerable care and sensitivity.
- Whenever possible, internal candidates should be offered feedback as to why they were not shortlisted preferably in a short confidential meeting.
- The person giving feedback should restrict information to the shortlisting matrix, taking care to release only that which is about the employee concerned. The officer should also keep brief notes of the conversation.

### Special Provisions

- Under the “Double tick symbol”, an applicant with a disability is guaranteed an interview provided they satisfy the essential criteria in the person specification. In no circumstances will they also be required to satisfy the desirable criteria.
- Under the Alternative Employment Policy, priority treatment is given to employees faced with losing their jobs through redundancy or reorganisation or as a consequence of health problems. These employees are entitled to be considered for suitable vacancies in competition only with other redeployees.
- Where a redeployee meets the essential requirements of the vacant post the Appointing Officer must proceed in accordance with the Alternative Employment Policy <http://pscm.northumberland.gov.uk/pls/porta192/docs/15275>.
- A “guaranteed interview scheme” is also available to employees whose employment has been compulsorily terminated on grounds of redundancy or ill-health. Under this scheme, for a period of six months from the date of termination, employees are guaranteed an interview for vacancies advertised externally where they satisfy the essential criteria. Their interview is in competition with other applicants.

## 13. SELECTION METHODS

Various methods are available to assist the panel to decide which applicant to appoint. Whichever method(s) is chosen, the criteria for assessment must be determined and recorded before any applicants are assessed. Special consideration will need to be given to the implications of the chosen method(s) on any candidate with a disability and what if any adjustment is needed to achieve fairness.

*Interviews* – The panel interview, or series of interviews, is the main method used. However, they need careful planning and conducting if they are to extract good quality, relevant information.

*Visits and informal discussions* – If offered these should be made available to all shortlisted candidates. It is important that candidates should be clear as to whether the visit is part of the assessment process. If an assessment is involved the panel should record the basis of the assessment and the outcome for each applicant.

*Case studies submitted by applicants* – Written case studies submitted prior to interview can demonstrate depth of knowledge and communication skills. They should be assessed against pre-

determined criteria and ideas further explored at interview. Care should always be taken to ensure the authenticity of the submissions.

*Case studies completed as supervised assignment* – Technical facts and procedural knowledge can be verified in this way. Such case studies are normally linked to time limits and can be assessed against pre-determined criteria and the answers further explored during the interview.

*Presentations* – Presentations can demonstrate the applicants grasp of subject and presentational and verbal communication skills. Again they should be assessed against pre-determined criteria making due allowance for any variation in the resources available to individuals.

*Work samples* – Applicants may be asked to submit a verified portfolio of examples of personal work. All applicants may not have the same means at their disposal and those genuinely unable to furnish work samples should not have their applications unduly prejudiced because of this.

*Psychometric and/or Ability testing* – Psychometric tests refer to a collection of ability tests and personality questionnaires which when interpreted compare the applicant against the results of a standardised reference group. Testing should only be conducted by qualified and appropriately licensed staff, and only validated tests and questionnaires obtained from reputable agencies should be considered. Specially adapted tests for certain disabilities are available. Advice and assistance in the choice and use of tests is available from the Human Resource Service. Further information available from the Psychometric Testing Code of Practice <http://pscm.northumberland.gov.uk/pls/portal92/docs/11437>.

## **14. THE INTERVIEW**

### **Key Issues**

- Interviews are a two-way communication in which applicants are also deciding whether they want to work for the Council. Therefore interviews need careful planning to achieve a satisfactory outcome.
- All interviews should be conducted by a Panel.
- A single interview will suffice for many circumstances when the breadth and depth of requirements in the person specification are relatively easy to assess.
- A two or more stage process should be adopted for senior appointments. This increases the scope for contact and provides a breathing space(s) for reflection by the panel and by candidates.
- Exceptionally, where a single panel would be excessively large, a split panel interview may be considered appropriate. For example one panel may examine technical matters whilst the other deals with more general matters.
- Arrangements and appointment times should be communicated to applicants allowing reasonable time for personal travel arrangements to be made. This should include sufficient information about the process and methods to allow a candidate with a disability to decide if they need to request an adjustment.
- When arriving for interview, applicants should receive a positive, friendly welcome. Reception staff should be briefed as to candidate names, arrival times and who will be meeting them.
- If delays in the interview schedule occur, apologies and explanations should be provided to waiting candidates.
- The interview should take place in a comfortable room, free from interruptions. The seating arrangements and general layout should seek to minimise stress and to facilitate communication.
- Particular care needs to be taken in interviewing candidates with disabilities, e.g. to enable lip reading or to eliminate background noises. Further advice is available from the Human Resource Service, Corporate Services, Performance Group.

## Interview Structure

Interviews should form a basic structure as follows:

- A welcome, introductions and an explanation of the interview structure. Applicants should be informed that notes will be taken and offered the opportunity to do likewise.
- Acquire information from the applicant. The panel should look to encourage applicants to express themselves fully. Early questions should look to clarify information on the application form followed by questions seeking information about skills, experience etc.
- The supply of information to the applicant. This helps the interview become a two way process. It enables the applicant to clarify and receive information about the Council and to ask questions regarding training, the job description and conditions of employment. The Appointing Officer should ensure that they are able to answer such questions; and
- The plan and depart phase. This allows the panel to “mop up” by asking any remaining questions and gives the same opportunity to the candidate. The Appointing Officer should summarise the main areas covered, clarify anything still outstanding and then let the candidate know the interview is over. The applicant should be thanked for attending, for making the information available to the panel and finally be informed of what to expect next.
- Every attempt should be made to keep to the timescale allocated to each candidate.

## Questions to Ask

- Panels should identify the core questions to be asked of all applicants.
- Core questions should be based on the person specification to ascertain whether the applicant meets the required standards.
- A record should be kept of the core questions for future reference, there is a template to record Questions, Answers and Scores used during interview see Appendix K.
- Replies to core questions should be followed up by asking further probing questions to ascertain a full and clear understanding.
- Panels should also identify questions for individual applicants to clarify information from their application forms, supporting documents or from the outcome of other selection methods used.
- All questions should be guided by the need to explore the applicant’s ability to do the job to the required standard.
- Questions should not be asked regarding the applicant’s marital status, sexual orientation, race or ethnic origin, disability, age, religion or belief that are unconnected with the requirements of the job. Appendix L gives a typical range of questions to be avoided.
- When interviewing staff to work in Schools an assessment of each candidates suitability to work with children must be carried out. Appropriate questions must assess the applicant’s
  - Attitude towards children and young people and their motivation to work with them;
  - Ability to form and maintain appropriate relationships and personal boundaries with children;
  - Emotional resilience in working with challenging behaviours; and,
  - Attitudes to discipline.
- When a job requires special working arrangements, e.g. shift working, it is permissible to ask a question to ascertain the candidates ability to fulfil such requirements, provided the question is asked of all applicants.
- Questions regarding the nature of their disability can be asked of an applicant who has advised they have a disability, but only to establish or clarify the nature of adjustments, if any, that are needed to help them carry out the duties of the post.
- Questions should avoid jargon or cultural idioms that might place a particular applicant at a disadvantage.
- Panels should agree who will ask particular questions and who will record information in order that the interview is conducted and recorded in a professional manner. The

Appointing Officer should ensure that notes made at the end of each interview are retained for future reference.

## **15. DECIDING WHO TO APPOINT**

The decision to appoint is of course extremely important and should not be rushed, pre-judged or taken lightly. The following points should be taken into account:

- The final decision should only be taken by the panel after completing all interviews and other selection methods.
- Selection should be made on the basis of evaluating each applicant against the criteria in the person specification.
- Assessment of candidates must be on the basis that any adjustments that have been requested to overcome the effects of disability will be made. The assessment should be based on the applicant's ability with the benefit of those adjustments. The panel should not attempt to decide the reasonableness of the required adjustments.
- A consensus should be reached regarding which applicant is most suitable on merit. Voting or abstention should not be accepted as the basis for reaching a decision.
- If there is more than one suitable applicant, the Panel may wish to identify a reserve in the event the first choice subsequently withdraws; and
- Should no applicant be appointable, the Appointing Officer may need to close the recruitment process and re-advertise. Alternatively arrangements can be made to re-assess all applicants to form a new shortlist, or for all or some of the previously shortlisted applicants to be re-interviewed.

## **16. OFFER OF EMPLOYMENT**

Once a successful candidate is identified the Appointing Officer will need to arrange an offer of employment. However, even at this stage careful attention is needed to satisfactorily conclude the process:

- Before making contact with the successful candidate, the Appointing Officer is recommended to check all terms and conditions to be included in the offer, and to confirm the preferred starting date with the appropriate manager. Particular care should be taken to ensure that the terms and conditions are consistent with those included in the Information Pack or otherwise made known to the applicant;
- Any changes should be carefully pointed out to the applicant and confirmed in writing;
- The offer should be subject to satisfactorily meeting a number of requirements which must include all of the following:
  - references
  - medical check
  - confirmation of right to work in the UK or hold the documents required for a work permit to be obtained
  - verification of qualifications
  - confirmation of ability to meet the requirements of politically restricted posts
  - confirmation that requested adjustments for people with disabilities are acceptable and reasonable
  - criminal records disclosure, if appropriate
  - respite measures, if appropriate; and,
  - list 99 , if appropriate
- Conditional offers may be made orally, or in writing. As oral contracts are as binding in law as written ones, great care should be taken and a note made of what has been said. If a time limit expires for a response the Appointing Officer should initially remind the applicant and then, if necessary, write stating clearly that the conditional offer is being withdrawn.
- Oral acceptances should be followed with a request for confirmation in writing;
- In the event an applicant rejects the conditional offer, an attempt should be made to determine the reasons in order to decide whether an improvement could or should be

made. If the situation is not retrievable the Appointing Officer should make a conditional offer to the panels second choice.

- Applicants must not commence work before all checks and conditions stipulated in the conditional offer have been satisfied. Allowing the successful applicant to commence work could be taken as a decision to waive the stipulated conditions;
- When all checks and conditions have been satisfied the applicant should be informed by the Appointing Officer and confirm the offer and make final arrangements for the applicant to commence work.
- If a check or condition is not met, the Appointing Officer should advise the applicant that the offer is withdrawn. If this information is conveyed orally it should subsequently be confirmed in writing.
- The withdrawal of an unconditional offer of employment which has been accepted by the applicant before the applicant commences needs careful consideration because of the legal and contractual issues involved. Advice should first be obtained from the Human Resource Service, Corporate Services, Performance Group.
- All remaining applicants should be advised that they have been unsuccessful on this occasion, thanking them for their interest in the post and advising them that they should consider submitting an application in the future should a suitable vacancy arise.

### **Reasonable Adjustment**

- The Appointing Officer must determine whether adjustments requested by a successful applicant with a disability are reasonable.
- If the adjustments are minor in nature the Appointing Officer will have no difficulty in deciding that they are reasonable. Where this is not the case the Appointing Officer should consult the Human Resource Service, Corporate Services, Performance Group.
- A decision not to offer employment because the adjustments are not considered reasonable must involve the Chief Officer concerned and the Director of Corporate Services to ensure a consistent and fair approach is being adopted.

### **Probationary Periods and the Induction Scheme**

The appointment of all new Council employees except Qualified Teachers are subject to a term of probation, normally six months, although this period may be longer, or very occasionally shorter, in exceptional circumstances.

Newly Qualified Teachers (NQT) must complete a mandatory induction year in order to demonstrate that they have continued to meet the standards of Qualified Teacher Status (QTS) and meet all the induction standards; teachers who fail their induction period will have their employment terminated under Regulations made under Section 19 of the Teaching and Higher Education Act 1998.

An Induction Scheme also operates and applies to all new employees to the Council.

During the probationary and induction periods employees must demonstrate that they are worthy of continued employment.

Letters of appointment should refer to probationary periods.

## **17. KEEPING RECORDS**

The importance of adequate records cannot be over emphasised. It is the responsibility of the Appointing Officer to ensure that notes are kept of each stage. The following information should be retained:

- DMT approval
- Vacancy vetting (if appropriate)
- Job description and person specification,
- Job advertisement and applicant information pack

- Core interview questions, and details of other selection methods and criteria for assessment
- Application forms
- Shortlisting matrix and other candidate assessment forms
- Interview notes and test or assignment results
- References
- Any communication with the candidates
- Equal Opportunities Data form
- Schools should have a single central record of recruitment and vetting checks

Documents relating to criminal records, other than the official CRB Counterfoil, should not be retained. It is the responsibility of the Employee Services, Corporate Services, Performance Group to ensure that this information is destroyed.

Information should be retained for no more than four months. This period is normally sufficient in terms of reference material in the event of a recruitment complaint being made to the Group or a complaint being lodged with the Employment Tribunal.

The information is confidential. Therefore access should be restricted to those involved in the recruitment and selection process. Information should not be passed to a third party without the consent of the individual.

After four months the information should be disposed of by shredding.

## **18. MONITORING, EVALUATING AND IMPROVING RECRUITMENT**

Because recruitment and selection is an important, time consuming and expensive process, Managers/Headteachers should review their arrangements on a regular basis. Frequency will depend on the extent of recruitment undertaken in the department will vary from a number of random checks each year to a check following each exercise.

### **Subjects of the Evaluation Process**

- Monitoring returns are collated as part of the on line recruitment process and should be evaluated with findings incorporated in equality targets and action plans.
- The media response to the advertisement should be examined to find out how applicants found out about vacancies and if necessary give consideration as to where to place future job advertisements.
- The applicant's reaction to the Information packs and other documentation should be reviewed to decide whether anything requires alteration.
- The interview process and other selection methods should be examined to consider their respective usefulness in relation to the time and effort needed to administer them.
- Regular checks should be carried out to determine whether employees and Elected Members involved in recruitment and selection have received the required training.
- Recruitment complaints should be examined to determine whether a response was possible from the records being maintained.
- Examine the turnover to see whether particular divisions or establishments have a particular high level and seek to find out the reason for the differences.

## **19. PROCEDURE FOR HANDLING COMPLAINTS**

The Council has adopted a Recruitment Complaints Procedure. A copy is attached as Appendix M. The procedure provides for complaints to be dealt with within the Department concerned and establishes a timescale for each stage.

Individuals also have the right under various equalities legislation including sex, sexual orientation, race or ethnic origin, disability, age, religion or belief to present a complaint of unfair discrimination to an Employment Tribunal normally within 3 months of being notified that they have been unsuccessful.

## 20. TERMINOLOGY/GLOSSARY OF TERMS

### **Direct Discrimination**

It is unlawful to discriminate on grounds of sex, sexual orientation, race or ethnic origin, disability, age, religion or belief.

It is unlawful to treat a person on the above grounds, less favourably than others in the same or very similar circumstances.

### **Indirect Discrimination**

It is unlawful to apply an unjustifiable requirement or condition, which although applied equally to everyone, is such that a considerably smaller proportion of one of the above groups can comply with it.

### **Vicarious Liability**

Employers are responsible for any act of discrimination carried out by an employee in the course of their employment, whether or not it was done with the employer's knowledge or consent.

### **Positive Action**

The law permits employers to take certain steps to encourage applications from individuals from particular groups for certain vacancies, e.g. women, people with disabilities and people from ethnic minorities, when it can be 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. A typical message is "*Because of under-representation in this area of work, applications from women, people with a disability or people from black and minority ethnic backgrounds are particularly welcomed*".

The Council encourages initiatives which promote the recruitment of under represented groups please contact the Human Resource Service, Corporate Services, Performance Group for advice

### **Genuine Occupational Requirement (GOR) and Genuine Occupational Qualifications (GOQ)**

There are occasions when sex, sexual orientation, race or ethnic origin, disability, age, religion or belief can be a genuine occupational requirement or qualification needed to do the job. An example of this could be the considerations of decency or privacy requiring the job to be held by a man or a woman. Such work is likely to involve close physical contact in circumstances where the client might reasonably object to the job holder being of the opposite sex.

Stringent criteria determine when this is possible and Groups are advised to consult the Human Resource Service, Corporate Services, Performance Group if considering such a course of action.

### **Reasonable Adjustment**

Under the Disability Discrimination Act 1995 it is unlawful to place an employee with a disability or a job applicant with a disability at a disadvantage because of their disability. The Act places a duty on employers to make reasonable adjustments to help an employee or candidate overcome the effects of their disability.

The job application form asks applicants if they need either type of adjustment i.e. to assist their application or to help them do the job.

In considering the reasonableness of adjustments Directorates are advised to seek advice from the Human Resource Service, Corporate Services, Performance Group.

### **Rehabilitation of Offenders Act 1974**

The Act sets out those circumstances when ex-offenders may withhold information about past convictions when applying for employment. The length of time a conviction is considered to be

“live”, and therefore has to be disclosed is determined by a number of considerations. When a conviction is “spent” it can be ignored for the purpose of employment.

It is unlawful to discriminate against an ex-offender on the grounds of a spent conviction. Certain posts, such as those involving working closely with children are subject to special checks and are exempt from the provisions referred to above. Appointing Officers should always check with the Human Resource Service, Corporate Services, Performance Group if they are in any doubt whether a vacancy should be exempt or subject to statutory checks.

### **Disclosure Procedure**

Employers recruiting to posts that are exempt from the provisions of the Rehabilitation of Offenders Act 1974 may ask candidates to disclose any criminal record. Checks are then made through the Criminal Records Bureau, an executive arm of the Home Office, using the disclosure procedure. The CRB issue both the employer and the candidate with a disclosure document containing details of any convictions. The following wording is recommended;

“Due to the nature of the work, the post to which you are being appointed is exempt from the provisions of the Rehabilitation of Offenders Act 1974. If, at any time, you are arrested in connection with a criminal offence you are required to notify your Chief Officer as soon as possible to provide details.

In addition, where there are reasonable grounds, the Council may require you to apply to the Criminal Records Bureau for an up to date criminal record disclosure. Failure to comply or refusal to co-operate in these circumstances could result in disciplinary action being taken against you, including the possibility of dismissal.”

### **Guaranteed Interview Scheme**

The Council guarantees an interview to applicants with disabilities who meet the essential criteria for the job regardless of whether the shortlisting process included consideration of the desirable criteria. This complies with the requirements of the double tick award which the Council subscribes.

This scheme should not be confused with a scheme applying to redundant employees. This scheme applies for a period of six months from the dismissal date and guarantees an interview for an externally advertised post provided they satisfy the essential criteria.

### **Access to Work Scheme**

The department of Employment offer an Access to Work Scheme whereby they can assist with financial and practical support with the employment of a person with a disability who may be unable to undertake the full range of duties required for the job.

### **Illegal Working**

Sections 15 – 25 of the Immigration, Asylum and Nationality Act 2006 set out the law on the prevention of illegal migrant working and came into force on 29 February 2008. These provisions replace those of Section 8 of the Asylum and Immigration Act 1996.

Appointing Officers must comply with these instructions to establish a statutory excuse against payment of a civil penalty if the Border & Immigration Service detects anyone working illegally whom you have appointed. The civil penalty can be up to £10,000 per illegal worker. As an Appointing Officer, if you know that you are employing a person who is not permitted to work in the United Kingdom, you will **not** be entitled to the statutory excuse and could be prosecuted under the provisions of the 2006 Act. Conviction under this offence will carry the potential of an UNLIMITED fine and / or a prison sentence of up to two years. It is therefore vitally important that Appointing Officers satisfy themselves that any prospective employee can legally work in the UK by checking and photocopying documents produced by the prospective employee **before they commence employment**. Further help and guidance on this issue is available from the Employee Services of Financial Services, Performance Group.

The instructions for appointing officers together with a list of valid documentation is attached at Appendix N. These instructions apply to appointments made on or after 29 February 2008 and explain what steps the appointing officer should take to assure yourself that any documents produced by a prospective employee demonstrate an entitlement to work in the UK.

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This policy was adopted by the Staffing Committee at their meeting on Wednesday 17 November 2010.

Signed		Chair of Staffing Committee (Peter Maxwell)	Date	
Signed		Headteacher, QEHS (Neil Morrison)	Date	
Signed		Headteacher, HMS (David Watson)	Date	
Review Date:	May 2012 or as reviewed by NCC			

## APPENDIX A

### TERMINATION OF EMPLOYMENT STATEMENT

Sections 1, 2, 3 and 5 of the form should always be completed. It is only necessary to complete Section 4 for employees who are leaving teaching or social care posts. Please return this completed form to your Personnel Assistant, Employee Services, Financial Services, Performance Group, County Hall, Morpeth, NE61 2EF. If the form is incomplete, it will be returned to you, which will result in a delay in processing the information you have provided.

<b>SECTION 1</b>	<b>Details of the employee who is leaving.</b>		
<b>Name</b>			
<b>Assignment number</b>			
<b>Position</b>			
<b>Organisation</b>			
<b>Department</b>			
<b>Date of termination</b>			
<p>If the employee is currently employed by you in more than one position – please ensure you specify which position is terminating. If this termination affects other assignments the employee has with you, please ensure that you inform us of changes to those assignments using the appropriate forms.</p>			
<b>SECTION 2</b>	<b>Checks to be completed by Line Manager</b> Please circle. Give further details where necessary		
<b>Are any further monies owed prior to the above employee leaving the authority? (e.g. training fees)</b> If yes please provide details here	Yes	No	
<b>Have relevant Systems Administrators been contacted to arrange the removal of access for the above named from necessary systems? (e.g. Outlook, Oracle)</b>	Yes	No	
<b>Have the terms of any Home Working Agreement been satisfied and arrangements made to recover equipment?</b>	Yes	No	
<b>Have you taken steps to recover keys, passes, mobile phones and other allocated tools and equipment?</b>	Yes	No	
<b>SECTION 3</b>	<b>Reasons for Leaving</b> Please tick one box only		
<b>Resignation</b>	<b>Additional Reasons for Leaving</b> Please tick one box only		
<b>End of contract</b>	<b>Career development</b>	<b>Approached from other employer</b>	
<b>Ill Health retirement</b>	<b>Conditions of service</b>	<b>Nature of work</b>	
<b>Not fit for the foreseeable future</b>	<b>Pay</b>	<b>Personal reasons</b>	
<b>Retirement</b>	<b>Not known</b>		
<b>Early retirement</b>			
<b>Compulsory redundancy</b>			

<b>Voluntary redundancy</b>			
<b>TUPE transfer</b>			
<b>Capability Dismissal</b>			
<b>Gross misconduct</b>			
<b>Deceased</b>			
<b>Other Please give details</b>			
<b>SECTION 4</b>		<b>Destination of leaver – Please only complete for positions stipulated. Please tick one box only.</b>	
<b>Social Care Staff – Children’s Services &amp; Adults Services Only</b>			
<b>Abroad</b>		<b>Elsewhere within the organisation</b>	
<b>Adult care sector: local authority</b>		<b>Health sector</b>	
<b>Adult care sector: private or voluntary sector</b>		<b>Not to another job</b>	
<b>Children’s sector: local authority</b>		<b>Other sector</b>	
<b>Children’s sector: private or voluntary sector</b>		<b>Other destination</b>	
<b>Destination not known</b>		<b>Retail sector</b>	
<b>Teachers only</b>			
<b>Change of contract only</b>		<b>Other – other LA</b>	
<b>Education post outside UK</b>		<b>Other – same LA</b>	
<b>Independent School</b>		<b>Primary / First school – other LA</b>	
<b>Non education post – other employment</b>		<b>Primary / First school – same LA</b>	
<b>Non education post – public sector</b>		<b>Secondary / Middle school – same LA</b>	
<b>Non education post – self employed</b>		<b>Secondary / Middle school– other LA</b>	
<b>Maternity/Paternity/Family reasons</b>		<b>Sixth form college – other LA</b>	
<b>Not known</b>		<b>University/HE college</b>	
<b>Other destination</b>			
<b>SECTION 5</b>		<b>Authorisation of termination</b>	
<b>Name</b>			
<b>Position</b>			
<b>Signature</b>		<b>Date</b>	

**JOB DESCRIPTION**

<b>Post Title:</b>		<b>Group/Department/Service</b>		<b>Office Use</b>
<b>Grade:</b>		<b>Workplace:</b>		<b>JE ref:</b> <b>HRMS ref:</b>
<b>Responsible to:</b>		<b>Date:</b>	<b>Manager Level:</b>	
<b>Job Purpose:</b>				
<b>Resources</b>	Staff			
	Finance			
	Physical			
	Clients			
<b>Duties and key result areas:</b>				

**The duties and responsibilities highlighted in this job description are indicative and may vary over time. Post holders are expected to undertake other duties and responsibilities relevant to the nature, level and extent of the post and the grade has been established on this basis.**

**THE FOLLOWING SHOULD ALWAYS BE INCORPORATED FOR ALL POSTS WHERE THE POST HOLDER WORKS WITH CHILDREN OR VULNERABLE ADULTS**

**Responsibility for helping to keep children and young people safe by providing a safe environment for children and young people to learn in and  
Identifying children and young people who are suffering or likely to suffer significant harm and take appropriate action with the aim of making sure they are kept safe**

<p><b>Physical requirements:</b></p> <p><b>Transport requirements:</b></p> <p><b>Working patterns:</b></p> <p><b>Working conditions:</b></p>	
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PERSON SPECIFICATION

Post Title:	Group/Department/Service:	Ref:
<b>Essential</b>	<b>Desirable</b>	<b>Assess by</b>
Qualifications and Knowledge		
Experience		
Skills and competencies		
Physical, mental and emotional demands		
<p><b>Motivation</b></p> <p><b><u>THE FOLLOWING SHOULD BE ESSENTIAL CRITERIA ON ALL PERSON SPECIFICATIONS</u></b></p> <p>Demonstrates integrity and upholds values and principles.</p> <p>Promotes equal opportunities and diversity in all aspects of work.</p> <p>Works collaboratively to achieve team spirit.</p> <p>Adapts to change by adopting a flexible and cooperative attitude.</p> <p>A responsibility to promote Health and Safety in all aspects of work</p> <p><b><u>THIS FORM OF WORDS SHOULD BE ESSENTIAL CRITERIA FOR ALL EMPLOYEES WHO WORK WITH CHILDREN</u></b></p> <p>Commitment to keep children and young people safe by providing a safe environment for children and young people to learn in and</p> <p>Commitment to identify children and young people who are suffering or likely to suffer significant harm and take appropriate action with the aim of making sure they are kept safe</p>		
Other		

**THE LOCAL AUTHORITY STANDING ORDERS REGULATIONS, 2001**  
**APPOINTMENTS SUBJECT TO THE APPROVAL OF THE EXECUTIVE**

Following interviews which were held on \*\*\*\*\* , the following candidate has been conditionally offered an appointment which is subject to the approval of the Executive under the provisions of the Local Authority Standing Orders Regulations, 2001.

<b>Name of candidate</b>	
Address	
Post offered	
Service/Department Group	
Start Date	
Current Employer	
Current Post	

**[Insert Name] Directorate**

*[Insert Name] Division*

[Insert Name] Service

<b>RECRUITMENT ADVERTISING APPROVAL FORM</b>	
<b>Post Title and number of hours</b>	Existing post <input type="checkbox"/> New Post <input type="checkbox"/> Permanent <input type="checkbox"/> Temporary <input type="checkbox"/>
<b>Service and Location</b>	
<b>Date Post becomes vacant</b>	
<b>Advert</b>	Internal <input type="checkbox"/> External <input type="checkbox"/>
<b>Consequences of Not Filling Post</b> (full details to be provided, including impact on services)	
<b>Measures already taken to cover the post</b>	
<b>Current number of similar posts</b>	
<b>Financial Position</b> (details of costs and budgetary provision. Confirm that current budget can support the filling of the vacancy)	
<b>Financial Position agreed by Director of Resources</b>	Comments:  Signed: Date:

<b>DMT Decision</b>	<b><i>Approved / Not Approved</i></b>
<b>DMT Comments (if any):</b>	
<b>Signed .....</b>	<b>Date .....</b>
<b>Decision of Chief Executive:</b>	<b><i>Approved / Not Approved</i></b>
	<b>Date: .....</b>
<b>HR Protocol recommendations:</b>	
	<b>Date: .....</b>

A copy of the job description and person specification must be attached to this form.

**The Director of Resources is to comment on the financial position before this form is submitted to Employee Services, Financial Services, Performance Group.**

**Once checked and logged, forms should be passed to the Human Resource Service, Corporate Services, Performance Group for approval through the LGR Protocol.**

**Posts to be advertised externally must be approved by SMT. The Director of Corporate Services will facilitate this.**

**Employee Services will be informed of final decision and will notify the Appointing Officer**

NORTHUMBERLAND COUNTY COUNCIL

PROFESSIONAL REFERENCE REQUEST

NAME OF ORGANISATION PROVIDING REFERENCE

.....

NAME OF APPLICANT

.....

**EMPLOYMENT DETAILS**

1. Please indicate period of employment with your organisation:

From: .....

To: .....

Current/Last Position held:

From: .....

To: .....

Details of previous posts held:

.....

.....

2. How long have you known this person and in what capacity/relationship?

.....

.....

.....

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.....

**ABSENCE/RELIABILITY**

1. Please state number of day's sickness absence of applicant in the last two years.

.....

2. Over how many occasions during the two year period?

.....

3. Please comment on the applicant's punctuality, reliability and flexibility within their work contract.

.....  
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.....

4. Would you re-employ the applicant in their current capacity?

Yes/No

(If no please explain why)

.....  
.....  
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.....

**CONDUCT**

1. Can you provide details of any current disciplinary procedures the applicant has been subject to in which the disciplinary sanction is current?

Yes/No

If yes, please give details

.....  
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.....  
.....

2. If the applicant has already left or has indicated an intention to leave your employment please indicate the reason.

.....  
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.....

3. Have you or your colleagues ever had cause for disquiet about the applicant's behaviour/conduct, judgement or trustworthiness?

**Please comment**

.....  
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.....  
.....

<b>SUITABILITY FOR PROPOSED POSITION</b>
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1. Enclosed is a job description and person specification for the position. Please identify strengths and weaknesses as related to the essential requirements of the position. Please add any other comments you wish in respect of the applicant's suitability to carry out the responsibilities of this post.

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2. Please add any other comments you wish in respect of the applicant's suitability to carry out the responsibilities of this post.

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You should be aware that the subject of this reference could request a copy under the Data Protection Act 1998.

**REFEREE'S DETAILS**

Signed:.....  
Print Name:.....  
Organisation:.....  
Position:.....  
Contact Telephone Number: .....  
Date:.....

**For office use only**

Date reference received:.....

**For Appointing Officer use only**

**Verification**

Signature:.....  
Date:.....

Details of further information/clarification received by telephone:

.....  
.....

**Panel Members' Signatures**

NORTHUMBERLAND COUNTY COUNCIL

**PROFESSIONAL REFERENCE REQUEST FOR STAFF WORKING WITH CHILDREN**

**NAME OF ORGANISATION PROVIDING REFERENCE**

.....

**NAME OF APPLICANT**

.....

**EMPLOYMENT DETAILS**

1. Please indicate period of employment with your organisation:

From: .....

To: .....

Current/Last Position held:

From: .....

To: .....

Details of previous posts held:

.....

.....

2. How long have you known this person and in what capacity/relationship?

.....

.....

.....

**ABSENCE/RELIABILITY**

1. Please state number of day's sickness absence of applicant in the last two years.

.....

2. Over how many occasions during the two year period?

Policies & Procedures/Management/Staffing/Recruitment & Selection Code of Practice

.....

3. Please comment on the applicant's punctuality, reliability and flexibility within their work contract.

.....  
.....  
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.....

4. Would you re-employ the applicant in their current capacity?

Yes/No

(If no please explain why)

.....  
.....  
.....  
.....

**CONDUCT**

1. Can you provide details of any current disciplinary procedures the applicant has been subject to in which the disciplinary sanction is current?

Yes/No

If yes, please give details

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2. Can you provide details of any disciplinary procedures the applicant has been subject to involving issues related to the safety and welfare of children or young people including any in which the disciplinary action has expired and the outcome of those?

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.....

3. Have you or your colleagues ever been aware of any allegations or concerns that have been raised about the applicant that relate to the safety, welfare or their

behaviour towards children or young people. Were these allegations or concerns investigated, was a conclusion reached and how the matter was resolved? Please comment.

.....  
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.....

4. Have you or your colleagues ever had cause for disquiet about the applicant's behaviour/conduct, judgement or trustworthiness?

Please comment

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5. If the applicant has already left or has indicated an intention to leave your employment please indicate the reason?

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<b>SUITABILITY FOR PROPOSED POSITION</b>
--

Enclosed is a job description and person specification for the position. Please identify strengths and weaknesses as related to the essential requirements of the position.

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You should be aware that the subject of this reference could request a copy under the Data Protection Act 1998.

**REFEREE'S DETAILS**

Signed:.....  
Print Name:.....  
Organisation:.....  
Position:.....  
Contact Telephone Number: .....  
Date:.....

**For office use only**

Date reference received:.....

**For Appointing Officer use only**

Verification

Signature:.....  
Date:.....

Details of further information/clarification received by telephone:

.....  
.....

**Panel Members' Signatures**

NORTHUMBERLAND COUNTY COUNCIL

PERSONAL REFERENCE REQUEST

NAME OF APPLICANT

.....

**RELIABILITY**

1. In what way has the applicant demonstrated their reliability and trustworthiness?

.....  
.....  
.....  
.....

2. How long have you known this person and in what capacity/relationship?

.....  
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.....

**SUITABILITY TO POST**

Enclosed is a job description and person specification for the position. Please identify strengths and weaknesses as related to the essential requirements of the position.

1. Willingness to undertake training and commitment to personal development.

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2. How would you describe the applicant's skills and abilities in relation to the essential requirements of the post?

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3. Please add any other comments you wish in respect of the applicant's suitability to carry out the responsibilities of the post.

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You should be aware that the subject of this reference could request a copy under the data Protection Act 1998.

**REFEREE'S DETAILS**

Signed:.....  
Print Name:.....  
Relationship to candidate: .....

Contact Telephone Number: .....

Date:.....

**For office use only**

Date reference received:.....

**For Appointing Officer use only**

**Verification**

Signature:.....

Date:.....

**Details of further information/clarification received by telephone:**

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.....  
.....  
.....

NORTHUMBERLAND COUNTY COUNCIL

**PERSONAL REFERENCE REQUEST FOR STAFF**  
**WORKING WITH CHILDREN**

NAME OF APPLICANT

.....

**RELIABILITY**

1. In what way has the applicant demonstrated their reliability and trustworthiness?

.....  
.....  
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.....

2. How long have you known this person and in what capacity/relationship?

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**CONDUCT**

3. Are you satisfied that the applicant is suitable to work with children and if not, can you please provide specific verifiable comments about the applicant's performance history and conduct?

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4. Are you aware of any allegations or concerns that have been raised about the applicant that relate to the safety and welfare of or behaviour towards children or

young people and the outcome of those concerns, for example whether or not the allegations or concerns were investigated the conclusion reached and how the matter was resolved

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5. Can you provide any other information you can supply regarding the applicants character and attitude to work specifically in relation to working with children?

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<b>SUITABILITY TO POST</b>
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Enclosed is a job description and person specification for the position. Please identify strengths and weaknesses as related to the essential requirements of the position.

1. Willingness to undertake training and commitment to personal development.

.....  
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.....

2. How would you describe the applicant's skills and abilities in relation to the essential requirements of the post?

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3. Please add any other comments you wish in respect of the applicant's suitability to carry out the responsibilities of the post.

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You should be aware that the subject of this reference could request a copy under the data Protection Act 1998.

**REFEREE'S DETAILS**

Signed:.....

Print Name:.....

Relationship to candidate: .....

Contact Telephone Number: .....

Date:.....

**For office use only**

Date reference received:.....

**For Appointing Officer use only**

**Verification**

Signature:.....

Date:.....

**Details of further information/clarification received by telephone:**

.....  
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.....

**Panel Members' Signatures**

**SHORTLISTING MATRIX**

Job Title (vacancy) \_\_\_\_\_ Post Number \_\_\_\_\_

Department and Section \_\_\_\_\_

Appointing Officer of Panel Chair \_\_\_\_\_ Date \_\_\_\_\_

Criteria	Essential							Desirable						
Name of Applicant														

**QUESTION AND ANSWER TEMPLATE**  
**CONFIDENTIAL**

**APPOINTMENT OF \_\_\_\_\_**

**CANDIDATE NAME:**  
**PANEL MEMBER NAME:**  
**POST:**

Question	Comments	Score
Question 1		
Question 2		
Question 3		
Question 4		

Question	Comments	Score
Question 5		
Question 6		
Question 7		
Question 8		
Question 9		
Question 10		

**APPENDIX L****EXAMPLES OF QUESTIONS WHICH SHOULD NOT BE ASKED**

During interviews it may be quite easy to say something that could be construed as offensive or could be used as evidence of some kind of discrimination. Care must therefore be taken when preparing interview questions and how they are followed up. Even what may be intended as simple small talk about an individual could lead to the perception of offence. The following suggestions are intended to steer you away from such situations.

Avoid referring to the following;

**Relationships**

- Marital status or intent
- Number and age of children
- Partner's employment
- Domestic living arrangements
- Relationship of parents
- Sexuality

**Medical**

- Reference to "women's problems" i.e. menstruation, menopause, PMT etc
- Are you pregnant or intend to start a family

**Cultural**

- Reference to religion or belief
- Comments about clothing/appearance unless job related
- Questions regarding race or ethnic origins
- Membership of societies/groups

**General**

- Gender issues
- Questions about age or retirement
- Political views
- Trades union membership
- References to age

The Director of Corporate Services can offer further advice in these matters.

## **RECRUITMENT COMPLAINTS PROCEDURE**

### **Policy**

The Council has developed policies, codes of practice and procedures which are consistent with the highest standard of recruitment and selection practice. These are reinforced by the provision of training for all managers and supervisors involved in the recruitment and selection process who, in turn, are supported by professional personnel staff.

The Council wishes to take all reasonable steps to ensure that best professional practice is achieved and maintained in all instances. The overriding principle and indeed legal requirement is on all occasions to appoint the best person for the job.

An unsuccessful applicant will invariably be disappointed at their lack of success and may question the outcome. This is a natural reaction. Appointing Officers are available to provide unsuccessful applicants with feedback on their applications.

However, a job applicant who has a substantive and genuine complaint may pursue that complaint by use of this procedure.

Complaints will be carefully assessed against the Council's Recruitment Code of Practice and dealt with as quickly as possible and not later than the timescales stipulated in the procedure.

It is hoped that, through this process, complainants will not be discouraged from applying for future vacancies with the Council.

This procedure does not apply in relation to recruitment complaints relating to vacancies in schools.

### **Introduction**

The purpose of the procedure is to provide a means to enable the efficient processing of recruitment complaints from job applicants, including existing employees.

The procedure is intended to cover all aspects of the selection and recruitment process including those relating to advertising, documentation, short listing and selection.

### **Confidentiality**

Certain information will not be made available to complainants, e.g. personal information relating to other applicants.

## **PROCEDURE**

### **Stage 1**

In the first instance the complainant should draw their complaint to the attention of the Appointing Officer, who leads the recruitment process and chairs the Selection Panel. They should do so as soon as possible after the circumstances leading to the complaint have arisen, and in any case by not later than 20 days after an appointment has been made.

The Appointing Officer will respond to the complainant within 10 working days of receiving the complaint. The response will normally be in writing unless the complaint is of a minor nature when an oral response may be given.

### **Stage 2**

If the complainant is dissatisfied with the response from the Appointing Officer they should write to the Chief Officer of the appointing Directorate within 5 working days of receiving that response.

The Chief Officer, or other nominated officer, will arrange for the complaint to be investigated and will provide a reply, which may be an initial response if the matter is complex, within 10 working days of having received the complaint.

Where an initial response is provided, a final response from the Chief Officer will be provided within 20 working days of receipt of the complaint.

Exceptionally, for example where a Chief Officer or Elected Members have been directly involved in the appointment, a complaint at Stage 2 will be referred to the Director of Corporate Services for consideration.

- Note:
- a) A working day means any day other than a Saturday, Sunday or public holiday.
  - b) No further or alternative procedures are available to internal or external complainants who remain dissatisfied after receiving a final response from the Chief Officer/ of Corporate Services.

## APPENDIX N

**IMMIGRATION, ASYLUM AND NATIONALITY ACT 2006****INSTRUCTIONS FOR APPOINTING OFFICERS**

Sections 15 – 25 of the Immigration, Asylum and Nationality Act 2006 set out the law on the prevention of illegal migrant working and came into force on 29 February 2008. These provisions replace those of Section 8 of the Asylum and Immigration Act 1996.

Appointing Officers must comply with these instructions to establish a statutory excuse against payment of a civil penalty if the Border & Immigration Service detects anyone working illegally whom you have appointed. The civil penalty can be up to £10,000 per illegal worker. As an Appointing Officer, if you know that you are employing a person who is not permitted to work in the United Kingdom, you will **not** be entitled to the excuse and could be prosecuted under the provisions of the 2006 Act. Conviction under this offence will carry the potential of an UNLIMITED fine and / or a prison sentence of up to two years. It is therefore vitally important that Appointing Officers satisfy themselves that any prospective employee can legally work in the UK by checking and photocopying documents produced by the prospective employee **before they commence employment**. Further help and guidance on this issue is available from the Corporate Services Department.

These instructions apply to appointments made on or after 29 February 2008 and explain what steps you should take to assure yourself that any documents produced by a prospective employee demonstrate an entitlement to work in the UK.

A prospective employee can produce a document, or documents, from one of two lists (Appendix 1). Documents from **List A** establish that the prospective employee has an ongoing entitlement to work in the UK. Documents from **List B** indicate that the prospective employee has restrictions on their entitlement to be in the UK. Documents must be checked and copied before the prospective employee starts work.

If a document, or documents, from **List B** are produced, **you must repeat the check on the employee at least once every twelve months**, until they provide a document or documents from **List A**. If they cannot provide a document or documents from List A, they must produce an extended or renewed document or documents from List B. If they are unable to obtain a document or documents from List A and cannot prove that the process of having a document or documents from List B extended or renewed is an ongoing process, they must be dismissed from your employment. These repeat checks of List B documents are required to retain the excuse. Failure to repeat the checks could therefore result in a civil penalty.

**Documentary Advice**

1. You must ensure that the prospective employee, or employee, provides a document, or documents, as specified in Appendix 1 of this document.
2. You must take all reasonable steps to check the validity of the document(s).
3. You must check that the expiry dates of any limited leave to enter or remain in the UK on any List B documents have not passed.

4. You must check any UK Government endorsements (stamps, visas etc.) to see if your prospective employee, or employee, is able to do the type of work you are offering.
5. If a document contains a photograph, you must satisfy yourself that the photograph is of the prospective employee or employee.
6. If a document contains a date of birth, you must satisfy yourself that the date of birth is consistent with the appearance of the prospective employee or employee.
7. You must take all other reasonable steps to check that the prospective employee or employee is the rightful owner of the document(s).
8. If the document is not a passport or other travel document you must take a photocopy of the **whole of the document**.
9. If the document is a passport or other travel document, the following pages of that document must be photocopied:
  - the front cover;
  - any page containing the holder's personal details including nationality;
  - any page containing the holder's photograph;
  - any page containing the holder's signature;
  - any page containing the date of expiry; and
  - any page containing information indicating the holder has an entitlement to enter or remain in the UK and undertake the work in question.
10. You **must** forward Appendix 1, indicating the document(s) seen, together with the photocopies of the documents to your Personnel Assistant, Employee Services, Financial Services, Performance Group for retention on the personal file.

**APPENDIX 1**

Vacancy Number (if applicable)		Full Name of prospective employee	
Organisation		Position	
<b>LIST A</b>			
<b>Valid document(s)</b>			<b>Tick one box only</b>
1. A passport showing that the holder, or a person named in the passport as the child of the holder, is a British citizen or a citizen of the United Kingdom and Colonies having the right of abode in the United Kingdom.			
2. A passport or national identity card showing that the holder, or a person named in the passport as the child of the holder, is a national of the European Economic Area or Switzerland.			
3. A residence permit, registration certificate or document certifying or indicating permanent residence issued by the Home Office or the Border and Immigration Agency to a national of a European Economic Area country or Switzerland.			
4. A permanent residence card issued by the Home Office or the Border and Immigration Agency to the family member of a national of a European Economic Area country or Switzerland.			
5. A Biometric Immigration Document issued by the Border and Immigration Agency to the holder which indicates that the person named in it is allowed to stay indefinitely in the United Kingdom, or has no time limit on their stay in the United Kingdom.			
6. A passport or other travel document endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the United Kingdom, has the right of abode in the United Kingdom, or has no time limit on their stay in the United Kingdom.			
7. An Immigration Status Document issued by the Home Office or the Border and Immigration Agency to the holder with an endorsement indicating that the person named in it is allowed to stay indefinitely in the United Kingdom or has no time limit on their stay in the United Kingdom, when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.			
8. A full birth certificate issued in the United Kingdom which includes the name(s) of at least one of the holder's parents, when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.			
9. A full adoption certificate issued in the United Kingdom which includes the name(s) of at least one of the holder's adoptive parents when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.			
10. A birth certificate issued in the Channel Islands, the Isle of Man or Ireland, when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.			
11. An adoption certificate issued in the Channel Islands, the Isle of Man or Ireland, when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.			
12. A certificate of registration or naturalisation as a British citizen, when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.			
13. A letter issued by the Home Office or the Border and Immigration Agency to the holder which indicates that the person named in it is allowed to stay indefinitely in the United Kingdom when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.			

**APPENDIX 1**

<b>LIST B</b>	
<b>Valid document(s)</b>	<b>Tick one box only</b>
1. A passport or travel document endorsed to show that the holder is allowed to stay in the United Kingdom and is allowed to do the type of work in question, provided that it does not require the issue of a work permit.	
2. A Biometric Immigration Document issued by the Border and Immigration Agency to the holder which indicates that the person named in it can stay in the United Kingdom and is allowed to do the work in question.	
3. A work permit or other approval to take employment issued by the Home Office or the Border and Immigration Agency when produced in combination with either a passport or another travel document endorsed to show the holder is allowed to stay in the United Kingdom and is allowed to do the work in question, or a letter issued by the Home Office or the Border and Immigration Agency to the holder or the employer or prospective employer confirming the same.	
4. A certificate of application issued by the Home Office or the Border and Immigration Agency to or for a family member of a national of a European Economic Area country or Switzerland stating that the holder is permitted to take employment which is less than 6 months old when produced in combination with evidence of verification by the Border and Immigration Agency Employer Checking Service.	
5. A residence card or document issued by the Home Office or the Border and Immigration Agency to a family member of a national of a European Economic Area country or Switzerland.	
6. An Application Registration Card issued by the Home Office or the Border and Immigration Agency stating that the holder is permitted to take employment, when produced in combination with evidence of verification by the Border and Immigration Agency Employer Checking Service.	
7. An Immigration Status Document issued by the Home Office or the Border and Immigration Agency to the holder with an endorsement indicating that the person named in it can stay in the United Kingdom, and is allowed to do the type of work in question, when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.	
8. A letter issued by the Home Office or the Border and Immigration Agency to the holder or the employer or prospective employer, which indicates that the person named in it can stay in the United Kingdom and is allowed to do the work in question when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.	

**Please remember that if a document, or documents, from List B are produced, you must repeat the check on the employee at least once every twelve months.**

**In these cases, as Appointing Officer, you must ensure that you send a further Appendix 1 and associated documentary evidence to your Personnel Assistant, Employee Services, Finance Directorate for retention on the personal file.**

**IMMIGRATION, ASYLUM AND NATIONALITY ACT 2006 As Appointing Officer I have verified the above details as required and agree to submit a further Appendix 1, if required, every twelve months.**

**I HAVE ENCLOSED COPIES OF DOCUMENTS SEEN AS REQUIRED.**

<b>Name of Appointing Officer</b>	<b>Position</b>
<b>Signature</b>	<b>Date</b>