



Islington Safeguarding Adults Partnership

Improving safety and people's feelings of safety by promoting the right of all people who are vulnerable to live free from abuse and neglect

Safer Recruitment Guidelines:

Keeping children and adults safe from harm

Updated October 2012

Foreword

In Islington, we are committed to reducing the harm experienced by both children and adults at risk of harm.

Safe recruitment processes are critical in reducing harm that can be caused by staff and volunteers.

These guidelines have been developed by the Islington Safeguarding Children Board and the Islington Safeguarding Adults Partnership Board.

The guidelines are for every organisation in Islington that works with children and adults at risk of harm. Many of these organisations already have good recruitment guidelines and processes in place. We hope that all organisations will either have similar guidelines in place of the same standard, or will adopt these guidelines as their own.

The guidelines comply with the safe recruitment recommendations of the Bichard Inquiry (2004) into the Soham murders.

In June 2009 the Safeguarding Adults Partnership held a community conference at which the importance of safe employment practice was underlined by those attending.

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Introduction

The purpose of these guidelines is to ensure that unsuitable people do not work or volunteer with children or adults at risk of harm. They are here to support supervisors, managers and organisations in recruiting the best-qualified and safest staff and volunteers.

They relate to all children – those under the age of eighteen.

For those who are over eighteen, they apply to adults who are at risk by reason of old age, infirmity or disability (including mental disorder within the meaning of the Mental Health Act 1983) s/he is unable to take care of her/himself or to protect her/himself from others.

An adult at risk is someone who is either in need of community care services or is at risk of losing their independence or sense of wellbeing through the actions of others.

The adults most likely to be assessed as at risk are those who:

- Are elderly and frail
- Suffer from mental illness, including dementia
- Have a physical or sensory disability
- Have a learning disability
- Suffer from a severe, incapacitating physical illness
- Are a carer

Also it is important to note that as an adult, being at risk may be a permanent or temporary state.

These guidelines aim to provide a process that will ensure recruitment and selection of staff and volunteers is:

- Consistent
- Fair
- Safe for you as an organisation
- Safe for children, adults at risk of harm and their relations

The safe recruitment process is an important aspect of protecting children and adults at risk of harm in keeping them safe. It applies to all employees who have contact with, and access to them, and equally to volunteers and paid employees. They both have access to children and adults at risk of harm using your services. They are also people who children and adults at risk of harm see as safe and trustworthy.

In your recruitment of staff and volunteers it is important to gather evidence from a range sources, for example, employment and life histories, references, probing interviews, CRB checks, qualifications, and medical questionnaires. All information must be rigorously checked. Reliance on evidence of previous convictions is inadequate as only a few of those who abuse children and/or adults at risk of harm have convictions. Because those already involved in abuse, or those disposed to do so, are extremely difficult to identify all employers must do their utmost, through good practice and vigilance, to make it as difficult as possible for abusers to obtain access to children and adults at risk of harm. The recruitment process must be a consistent and thorough process of obtaining, collating, analysing and evaluating information from and about applicants. But that is not the end of the story. Even the most careful selection process cannot identify all those who may pose a risk to children and adults at risk of harm. Once you have appointed someone and they have started working, you need to have robust supervision and appraisal arrangements in place to ensure their work is scrutinised and any

concerns that emerge are highlighted and responded to. Thinking about, and including issues safeguarding is important at every stage of the process.

You can begin demonstrating your commitment to protecting children and adults at risk of harm to prospective staff and volunteers by adopting a policy statement on safeguarding their welfare. This statement can be included in your organisation's publicity and documentation. The statement could include the following:

(Name of Organisation) is committed to all aspects of safeguarding. We believe that all children and adults at risk of harm have the right to be protected from abuse and harm. (Name of organisation) aims to ensure as far as is possible that anyone, paid or voluntary, who seeks to work in (Name of organisation) and who gains access to children and/or adults at risk of harm is safe to do so.

For adults at risk of harm in particular, the following values should inform and guide all our work:

- **Privacy** – the right of individuals to be left alone or undisturbed, and free from intrusion or public attention into their affairs.
- **Dignity** – all people will be treated with respect. Each individual's unique characteristics and intrinsic value will be recognised.
- **Independence** – the right to act and think without reference to another person.
- **Choice** – the opportunity to make both small and more significant life choices, with assistance as appropriate to understand context and options; the opportunity to make choices in the individual's own interest, exercising the choice to take risks.
- **Rights** – the maintenance of all entitlements associated with citizenship, including full participation in the life of the community.
- **Fulfilment** – the realisation of personal aspirations and abilities in all aspects of daily life; the development of competence in valued, meaningful skills and attributes.
- **Capacity** – it must be assumed that people have the capacity to make their own decisions unless proved otherwise, and that decisions made on behalf of people who lack capacity should be in their best interests

Employing staff and volunteers who are safe and who will be an asset to your organisation is a detailed process. Though there is a lot of material in these guidelines, we do hope its length does not put you off. In order for them to be as accessible as possible we have presented the guidelines as a step-by-step approach to the recruitment process. Each section highlights the key areas that need to be considered. We have also included model documents that you can use in your organisations.

If you have concerns about an adult who may be at risk of abuse, harm or neglect please contact the Access Service on 020 7527 2299.

If you have concerns about a child who may be at risk of abuse harm or neglect, please contact the Referral and Advice team on 020 7527 7400.

If you have any comments or questions relating to children about this guidance, please contact Melissa Friedberg at the Islington Safeguarding Children Board. We're at 3 Elwood Street, London N5 1EB; tel. 020 7527 4209.

If you have any comments or questions relating to adults about this guidance, please contact Rachel McNulty at the Islington Safeguarding Adults Partnership Board. We're at 338-346 Goswell Road, London, EC1V 7LQ; tel. 020 7527 8836.

Starting the recruitment process

This section refers to some of the legislation and terms you need to be aware of.

Legal requirements

The legislation listed below is the most relevant for you in employing staff. Your standards and associated guidelines must be consistent with:

- Asylum Act 1999 and 2002
- The Immigration Restriction on Employment order (2007)
- Human Rights Act (1998)
- Data Protection Act (1998)
- Rehabilitation of Offenders Act (1974)
- Employment Rights Act (1996) and Employment Act (2002)
- Protection of Vulnerable Adults Act 1999/Criminal Justice and Court Act 2000
- Vulnerable Groups Act (2006) (Vetting and Barring – Independent Safeguarding Authority)
- Protection of Children Act 1999/Criminal Justice and Court Act 2000
- The Equality Act 2010
- Local Democracy, Economic Development and Construction Act 2009

Types of appointments

There are different types of appointments that can be determined at the beginning of the recruitment process, but the principle of recruitment and selection remains the same - all appointments must be advertised, awarded on merit and safer recruitment guidelines applied.

Permanent employee – person employed on an open-ended contract.

Fixed term employee – person employed for a set period of time with an end date specified in their contract of employment.

Agency temporary worker / locum / supply staff – person engaged via an employment agency, paid by an invoice against agency timesheets. They can be full and part time. You must obtain assurance that staff recruited by another agency have been properly vetted by this agency. Written confirmation can be requested that the Criminal Records Bureau (CRB) check (page 27 below) is less than 12 months old. Recruitment agencies should be monitored to ensure their compliance with practices that safeguard children and adults at risk of harm.

Seconded – an individual (internal or external) recruited on a fixed term basis into a position as a development opportunity or to fill a temporary need. The organisation to which the person is seconded needs to ensure that all appropriate employment checks have been carried out. If any checks have not been carried out the organisation to which the person is seconded needs to carry them out. Information on checks should be shared provided the individual is informed at the outset that this is a possibility and it does not infringe the Data Protection Act (1998) Regulations.

Sessional – person employed for a specified number of sessions / hours.

Acting up – person temporarily employed into a more senior position.

Volunteer – person who performs a range of functions in the organisation and can attend team / organisational meetings but is not paid. They can receive allowances to cover their expenses.

Consultants & Freelancers – self-employed people who are employed to complete a specified piece of work and are on short-term contracts. They do not need to undergo the standard recruitment process but must still undergo the same pre-employment checks as other employees.

Job Description, Person Specification, Salary

Once a post becomes vacant or a new post is created the Job Description, Person Specification and salary need to be agreed. The Job Description (JD), Person Specification (PS), and advertisement are the key documents for your recruitment campaign. It is important that these are an accurate description of the job content and of the skills, abilities and personal qualities necessary to do the job. The JD and PS should be used to create the advertisement. Getting these documents right will directly affect the quality of applicants you have to choose from, because these are the documents candidates will be using to select themselves in or out of the applicant pool.

Job Description

This should contain:

- A factual summary of the job
- The purpose of the job and its main duties
- The date the job description was updated
- The location where the job is based
- A description of the key responsibilities and tasks involved in the role, rather than how the individual will perform them. This should include the responsibility to promote and safeguard the welfare of children/adults at risk of harm they are responsible for / come into contact with

PLEASE REFER TO:

Appendix 1 for the job description template

Person specification

The Person Specification focuses on the individual and the knowledge, skills, abilities, qualifications and experience they will need to be able to do the job in question. Candidates not possessing those skills or abilities should not apply. For volunteers, the role they will perform in the organisation and any skills, abilities or experience they might need will be described.

The Person Specification includes:

- Experience required
- Formal qualifications needed
- Specific skills, for example: use of Microsoft Excel, interviewing skills
- Personal qualities. This should include suitability to work with children/adults at risk of harm
- Abilities, for example, the potential to be able to do something once trained or shown or transferable experience
- Commitment to equal opportunities

Candidates who express an interest in a position are asked to address each point on the Person Specification to demonstrate their suitability for the post. If the Person Specification

does not accurately reflect the skills needed to do the job it will be difficult for you to select whom to shortlist. For this reason, it is essential that the Person Specification is kept short and succinct. Limiting the number of items on the person specification, but making them much more specific and measurable will assist you at shortlisting and at interview. It should not be necessary to have more than ten items on a Person Specification.

Here's an example of how to do this:

(a) *Excellent communication skills*

This item is not specific enough. It does not give the applicant enough information to decide whether they meet the criteria, neither does it help the shortlisting panel to score the applicant against the criteria.

(b) *High standard of communication skills, demonstrated by the ability to draft correspondence without supervision; the ability to compile information into simple factual reports, and the ability to explain complex rules to service users over the telephone and face to face.*

The above item is much more specific about the type of communicating the person will be required to do and the level at which they will have to do it. This will make shortlisting candidates much easier.

A Person Specification that is too broad or 'under-specifies' the needs of the role will attract candidates who lack the competence to do the job well. A Person Specification that overstates the experience and skills necessary will rule out candidates who could do the job and may mean you do not get sufficient response.

PLEASE REFER TO:

Appendix 2 for the person specification template

Application packs

What goes in the pack?

Applicants should receive a standard quality application pack for all posts.

The pack should include:

- Job Description
- Person Specification
- Application form
- Relevant policies and documents – for example, information about the organisation, Equal Opportunities policy
- Additional information / publicity about the organisation may be inserted.

The application form

Applicants are requested to complete a standard application form. This ensures consistent shortlisting. The application form should provide you with enough information to make a choice about whether you want to consider the applicant for the position you hold vacant. It is important that applicants complete the whole form. If the applicant leaves gaps in the application form, including gaps in their education and employment history, this should be investigated at the interview. It may mean that they are covering up incidents in the applicant's history that have an impact on their suitability for the position you are hoping to fill. Volunteers also need to complete a standard application form. The same format can be used with shorter sections on previous employment and training.

PLEASE REFER TO:

Appendix 3 for the application form template

Model equal opportunities policy

This (*Name of organisation*) is committed to respect for human rights. We believe that diversity benefits and adds value to our service. Having a diverse workforce better represents the people we work with. The differences in culture and range of different life experiences bring creativity, vitality and greater innovation to the organisation.

We shall use all methods to ensure that all:

- Staff experience fairness and equity of treatment in the workplace
- Users receive fair and equal access to our services
- Staff, volunteers and users are treated with dignity and respect

It is our policy that everyone should be treated fairly and without discrimination in relation to their human rights. This (*Name of organisation*) will not tolerate processes, attitudes and behaviour that amount to discrimination, including harassment, victimisation and bullying through prejudice, ignorance, thoughtlessness and stereotyping.

This means that we will:

- Target recruitment to strengthen under represented groups through advertising
- Make reasonable adjustments and provide necessary equipment and facilities for staff and volunteers with disabilities
- Ensure procedures and practices are fair so that staff and volunteers can better reflect the community it serves
- Access training to educate staff about equalities issues and awareness of human rights
- Ensure the working environment is free of discrimination, including harassment, victimisation and bullying
- Make it clear to staff and volunteers that discrimination is unacceptable and will be treated as a serious matter and a disciplinary offence
- Deal promptly and thoroughly with any complaints of discrimination including harassment, victimisation and bullying
- Ensure fairness and equity of treatment in all employment practices
- Assess the performance and potential of any individual on merit, and without regard to stereotypes and assumptions
- Ensure that policies and strategies are communicated to staff and volunteers
- Ensure that staff and volunteers treat everyone fairly, equitably and with respect
- Ensure that staff and volunteers do not use discriminatory practices in the work place or elsewhere
- Ensure that users are treated fairly and equally

- Not use discriminatory practices when providing services
- Take appropriate action against any user who harasses or acts in a discriminatory way towards other users or staff and volunteers

We will consider any comments, criticism or suggestions and:

- Provide clear information about where, and to whom, users should complain
- Listen to complaints and comments and act upon them
- Use complaints to improve awareness of equalities
- Ensure that any complaint of harassment from a user about another user or staff or volunteer is investigated and resolved promptly and fairly
- Monitor all complaints to check whether there are any underlying equalities issues
- Implement changes that the complaint and investigation show to be appropriate

Model health and safety policy

It is the policy of (*Name of organisation*) to ensure, so far as is reasonably practicable, that:

- There is a safe and healthy environment
- Working practices, which ensure health and safety, are established for staff and volunteers
- Health and safety standards and practices are regularly monitored and reviewed and where deficiencies are identified they are promptly rectified

(*Name of organisation*) will meet its statutory responsibilities so far as the health, safety and welfare of its staff, volunteers and service users are concerned.

Legally, we are all also responsible for our own safety, the safety of staff and volunteers we supervise and the safety of service users.

If you are unsure, of what action to take in a given situation, you should seek advice from your manager /supervisor.

The responsibilities of the manager / supervisor are to:

- Identify any specific health and safety training needs of new and existing employees / volunteers
- Ensure that there is adequate supervision of employees / volunteers to ensure that health and safety standards are maintained
- Undertake and record risk assessments
- Implement measures identified by any risk assessments undertaken
- Appoint an appropriately trained First Aider
- Ensure staff and volunteers are aware of the location of the first aid box
- Undertake risk assessments of lone working to assess whether staff and volunteers need to be accompanied, or be provided with an appropriate communications aid
- Provide guidance to any concerned staff or volunteer
- Make clear that violence and aggression are unacceptable and staff and volunteers are not expected to put up with verbal abuse or assaults
- Periodically carry out a review of building security and any additional security measures which are implemented will be designed to enhance the safety of staff, volunteers and service users
- Receive incident reports
- Investigate serious or untoward incidents

The responsibilities of staff and volunteers are to:

- Act with due regard to the health and safety of themselves and others who may be affected by what they do, or fail to do
- Report to their manager / supervisor any serious danger to health or safety, or defects in equipment, or safety procedures that come to their notice
- Report to their manager / supervisor any serious and untoward incidents which have led, or might have led, to injury or damage

- Co-operate with management systems designed to ensure their safety, including keeping their colleagues aware of their location and of any potentially hazardous activities that they intend to undertake
- Report all incidents of violence or aggression towards staff, volunteers and service users

The advert

Planning the advert

Shortlisting and interview dates and the interview venue must be planned in advance so that the interview dates can appear in the advert. This will ensure that the recruitment and selection process are efficient as possible. You must also decide who prospective applicants can contact if they want further information and this information should also be placed in the advert.

When drafting the advert make it clear and concise. Do not exclude applicants unnecessarily by including criteria that is not relevant to performing the job; you want it to appeal to all sections of the community. The advert can also provide an opportunity to publicise the work of your organisation. The information should include brief requirements of the job, unique selling points and a brief description of the organisation, the salary and any other benefits.

Adverts need to be placed in relevant media, keeping in mind the cost, access to minority groups and taking advantage of the networks you may be able to link into. Posters can be displayed, vacancies can be advertised at open days, word of mouth can inform people about the post, and advertising can be placed on community radio stations. If you have the facility, websites and online recruitment can also be used. They can be a quick and cost effective process for both applicant and your organisation and can be encouraged in advertisements.

Make sure that you have the opportunity to proof read the advert before it is printed to check that dates and other details are correct.

Details to include in the job advertisement:

- Job title
- Grade and or salary range
- Type of contract: Permanent, Fixed Term, Temporary
- Where the job will be located
- Hours of work
- Brief description of the organisation
- Brief description of the role being advertised
- Closing date for application forms
- Interview dates (allow enough time after the closing date for shortlisting and communication to the successful candidates)
- Contact details and process for getting applications forms
- For further information please ring (*named person*) for an informal discussion
- Equal opportunities statement

If relevant, you should state if the post is a job share, or whether flexible working arrangements are available, the qualifications required, if it is a short-term contract and when the funding ends.

You should clearly state that your organisation is committed to safeguarding children and adults at risk of harm and expects all staff and volunteers to share this commitment, the organisation follows safe recruitment practices to protect children and adults at risk of harm, and the applicant will have to have a Criminal Records check .

Shortlisting and interview panel

You need to decide who will be on the shortlisting and interview panel prior to the advert, and who will be the panel Chair. The panel chair should manage the whole process. To ensure consistency, the panel should remain the same throughout the whole process. Particularly, the interview panel should remain the same for all candidates. Panels should consist of a diverse group of people to represent the organisation and the community served. To empower, and give service users a voice, they should be on the panel. This might take different forms depending on the nature of job and service user group. The panel should give consideration to the best way of involving service users. Users' views should be treated equally to other panel members. Panels should always consist of a minimum of two people. If any of the panellists know any of the applicants they must disclose this.

All panel members should be trained in recruitment and selection procedures and safe recruitment in relation to the relevance of previous convictions, assessing and confirming gaps in education and employment, assessing people skills and creative interviewing.

The Children's Workforce Development Council (CWDC) has a free online safer recruitment training package. It covers:

- What is abuse?
- Recruitment processes
- How to manage allegations

It can be accessed on the CWDC website. You will need to create an account to access the training. You will need to follow the links on the website to do this:

<http://www.cwdcouncil.org.uk/safeguarding/safer-recruitment>

All panel members should be aware of their role. Decisions need to be made about:

- The questions each panel member will ask. Service users should not just ask questions related to particular criteria
- Who will check the information on the interview checklist?
- Who will deal with the CRB Disclosure applications, if applicable?

Shortlisting

Preparation for shortlisting

To ensure that the best candidates are selected, and have been selected fairly, there are standard procedures for shortlisting. This ensures that the same process is followed for each candidate and that you have a concise record of the decision, which can be referred to at a later date. When applicants apply for the job, they are instructed to address each point on the person specification, detailing how their previous experience, knowledge, skills and abilities fit the requirements of the person specification. This makes shortlisting easier for the panel and more accurate. A Shortlisting Analysis Form (SAF) provides a grid on which to enter the shortlisting decision in respect of each point on the person specification. At the end of the shortlisting process, the chair of the panel should indicate whom the panel would like to invite for an interview. The fundamental principle of shortlisting is that each candidate should be assessed against the person specification and not in relation to other irrelevant criteria.

Ideally applications should be shortlisted by all interview panel members, but at least by two of them. Shortlisting should never be done by only one member of the panel. Copies of applications should be made available to panel members including the panel Chair. This should be done within a reasonable time frame to ensure that the published shortlisting and interview dates are met.

If any items on the person specification require further detail to assist the panel to decide if an applicant meets the criteria or not, this detail should be agreed and documented giving the level and standard of information needed for a candidate to meet the requirement. Clarification at this stage will assist panel members to come to a consensus view and make shortlisting easier.

Not every item on the person specification needs to be used for shortlisting. Additionally, some items of particular importance may be weighted and given higher consideration than others. You may decide that some requirements are better assessed at interview or using a test. Those requirements that MUST be used however are:

- Qualification and experience requirements. For example, a formal qualification at a particular level, or two years experience of working in particular field. Candidates who fail to meet these need not have their applications shortlisted against the other criteria as they are ineligible for the post.
- Any knowledge, skills or ability criteria that have a high priority for the performance of the job. It is not essential to shortlist the Equal Opportunities section of the Person Specification. The panel may prefer to probe the equalities question at the interview.

PLEASE REFER TO:

Appendix 4 for the shortlist analysis form template

Interview Panel

Interview panels should aim for diverse representation in terms of gender and ethnicity. Consideration should be given to involvement of or input from service users where appropriate, with proper preparation and support.

Interview structure and questions

Preparation for interviewing

Once candidates have been shortlisted they are sent letters requesting them to attend the interview. This letter should include the date, time, and location of the interview, interview panel membership and directions to the venue. Also ask if they have any special needs / requirement when attending the interview. The candidates need to be informed if they will be required to undertake a written test or do a presentation. They need to be informed about the equipment that will be available for the presentation. To give candidates sufficient notification you should allow two weeks between the shortlisting and the interviews. The interview panel needs to be informed of the interview schedule. References should be requested at this stage. In terms of safer recruitment and employment it is good practice, where possible, to review the references prior to the interview. This enables you to take up any relevant issues arising from the references with the candidate at the interview. It will also speed up the process of being able to formally offer the successful candidate the position. The section on pre-employment checks covers requesting references.

Candidates are informed that they need to bring at least three pieces of proof of identification to the interview and that only original documents can be accepted.

At least **one** of the following:

- **Passport** (any nationality)
- **UK Birth Certificate**
- **UK Issued Driving Licence** (either photocard or paper counterpart – a photocard is only valid if the individual presents it with the paper counterpart)
- **EU National Identity Card**
- **HM Forces ID Card**
- **UK Firearms Licence**
- **UK Adoption Certificate:**

At least **two** of the following (or **five** if unable to provide one from the above list)

- **Marriage/Civil Partnership Certificate**
- **Financial Statement** ** e.g. pension, endowment, ISA
- **Birth Certificate (non-UK)**
- **Vehicle Registration Document** (Document V5 old style and V5C new style only)
- **P45/P60 Statement (UK)** **
- **Mail Order Catalogue Statement** *
- **Bank/Building Society Statement** *
- **Court Claim Form (UK)** ** documentation issued by Court Services
- **Utility Bill** * electricity, gas, water, telephone - inc. mobile phone contract/bill
- **Exam Certificate** e.g. GCSE, NVQ, O-Levels, Degree
- **TV Licence** **
- **Addressed payslip** *
- **Credit Card Statement** *
- **National Insurance Card (UK)**

- **Store Card Statement ***
- **NHS Card (UK)**
- **Mortgage Statement ****
- **Benefit Statement *** Child Allowance, Pension
- **Insurance Certificate ****
- **Certificate of British Nationality (UK)**
- **Council Tax Statement (UK) ****
- **Work Permit / Visa (UK) ****
- **A document from Central/Local Government/Government Agency/Local Authority giving entitlement (UK) *** e.g. Department for Work and Pensions, the Employment Service, Customs and Revenue, Job Centre, Job Centre Plus and Social Security
- **One of the following documents from the Borders and Immigration Agency (BIA) (formerly the Immigration and Nationality Directorate – IND) (UK) do not use more than one of the following documents.**
 - Convention Travel Document (CTD)
 - Stateless Person's Document (SPD)
 - Certificate of Identity (CID)
 - Application Registration Card (ARC)
- **Connexions Card (UK)**
- **CRB Disclosure Certificate ****
- **Letter from Head Teacher ***

** Documentation should be less than three months old*

*** Issued within past 12 months*

All documents must be in the applicant's current name. At least one document must show the applicant's current address and at least one document must show the applicant's date of birth. When verifying documents, always check for signs of tampering. Documents should be queried if they display any signs of damage, especially in the areas of the name or photograph. Please ensure the details in the ID documentation provided match those given on the application form. Where a form of identity including a photo has been provided you should check that the photo is an accurate likeness to the applicant. Record the type of ID provided by the candidate and the information on the ID. For example, for passports please enter the passport number, date of birth, nationality and date of issue. Candidates must also be informed that they need to bring original documentary evidence of their qualifications.

The interview process involves predicting how successfully the candidate would perform in the job by measuring them against the requirements of the person specification. Appointing the candidate that best meets these requirements ensures objectivity. The critical factor is how the interview is handled. If done well, it is a flexible and efficient means of obtaining information.

It is important to clarify before the interview if tests are to be used so that sample tests, where appropriate, may be sent to the candidates. If the candidate is required to do a presentation you need to decide whether you want them to prepare for it in advance, in which case they need to be informed of the presentation topic prior to the interview, or whether the topic will be given to them on the day. This has some advantages as you can then be sure they have had no assistance with the preparation and it tests being able to think through an issue quickly and under pressure. Also make sure that you take into account the needs of those who may have a disability and may need extra time / reasonable adjustment(s).

Interview questions

The questions asked by an interview panel are very important in the area of safer recruitment. By asking the right questions, the chance of appointing inappropriate candidates is lessened, the interests and wellbeing of children and vulnerable adults are protected and the risk of abuse is minimised.

Interview questions help to assess applicant's suitability to work with children and vulnerable adults by finding out as much information about the following:

- The applicant's background,
- Their motivation, character and temperament and
- Their attitudes, opinions and values.

The questions asked should be backed up by a series of probes and follow-ups to give the panel a full picture of the area being investigated. This should give an insight into the individual's motivations, opinions, beliefs and attitudes, which will help the panel make a detailed assessment of their suitability to work with children and vulnerable adults.

To increase the likelihood of making a successful recruitment decision and to ensure consistency for all candidates, your interviews must be as structured as possible. The interview should not be an interrogation, but a structured conversation that deals with key issues. The panel should meet prior to the interview to set the interview questions and the areas of questioning that needs to be applied to all candidates. You will need to decide who will ask which questions.

You need to be clear about what you're assessing and what you're looking for in a worker. Interviews should cover why the applicant is applying for the post. All criteria outlined in the person specification should be tested through questions. Questions should be based around those items of the person specification that have not been conclusively assessed through testing or on the application form. At all times it is important to get candidates to relate their experience, attitudes and abilities to the actual tasks of the job and the selection criteria. Candidates should also be asked to reflect on their insight into their personal strengths and weaknesses and how these will contribute to or impact the job. Any gaps or inconsistencies in history and frequent changes of employment must be identified and an explanation sought.

The following areas should also be explored with applicants in the interview:

- Their motivation and reasons for working with the particular client group
- Their perceptions about the boundaries of acceptable behaviour towards children/ adults at risk of harm, and their ability to form and maintain professional relationships and personal boundaries with children/ adults at risk of harm
- Their ability to positively contribute to children / adults at risk of harm healthy sexual, emotional, social and physical well being
- The impact on their behaviour when working with children / adults at risk of harm who are personally challenging
- What aspects of their background contribute to their desire to work in these areas of employment?
- What their resistance to stress is and how they manage it

- How they view control and punishment
- Their personal belief systems
- Their needs for further training and development
- Any gaps in employment history
- Add in further points

You should listen very carefully and note any answers you find worrying and discuss them at the end of the interview. They will inform your decision about which candidate to appoint. Any worries need to be evidenced with examples from the interview.

On the next page are sample questions that can be asked of candidates depending on the post that they are applying for.

Sample questions

Open questions

Questions should be open-ended, probing, clarifying information and understanding, and exploring the topics related to the selection criteria, i.e. questions that encourage candidates to give you as much information as possible. They should also be non-directive, sensitive, facilitating the interviewee to respond to potentially difficult areas. Open questions begin with "who?", "what?", "how?", "why?", "where?", "which?", "tell me about", "please describe... ..".

For example:

- *What do you think are the attributes.....*
- *Can you please give me some examples which you believe demonstrate these attributes.....*
- *Give me examples of situations in which you have particularly.....*
- *What input have you had to*
- *How have you managed a situation.....*
- *How would you describe yourself in relation to.....*

When assessing personal characteristics such as behaviour and temperament, it is important to know the person's understanding of their own strengths and weaknesses, and the impact on them when having to deal with situations that they have found personally challenging.

For example:

- *What a person has done?*
- *What strengths assisted?*
- *What weaknesses got in the way? What was the effect?*
- *What was the effect on them?*
- *What has been learned?*
- *What may make a difference next time?*

The opening questions are asked of all candidates, but the probing follow-up questions will vary depending on what candidates have told you and how much further information you feel you need. These supplementary questions and probes need to be individualised to the particular candidate to enable more in-depth exploration of personal attitudes, temperament, motivation and the ability to form and maintain appropriate relationships and boundaries with children and adults at risk of harm. For example, gentle queries like: *"I'm not sure what you mean....."*.

Closed questions

These are useful to establish facts and confirm information.

For example:

- *Do you?*
- *Did they?*
- *When were you at?*

Concrete Questions

You need to get the candidate to tell you in concrete terms what they've done, how they did it, what attitudes/behaviour influenced their thinking, what was the impact/outcome, what other factors influenced their decision/behaviour/attitudes, how did their behaviour/attitudes influence the situation and what they learnt from this experience. This will help you assess how well the candidate uses their experience to demonstrate their knowledge of the requirements of the post, and how their behaviour, attitudes and skills applied relate to the specified characteristics for the jobholder. This contrasts with getting the candidate to project - how will they react, what will be their attitudes to etc. Projecting into the future is the basis of hypothetical questions.

Hypothetical questions are best avoided unless the panel wishes to assess a person's values, attitudes or conceptual thinking. Hypothetical responses to behaviour, temperament, and action are particularly poor indicators.

For example:

- *Tell us about your previous experience in this field.*
- *What do you think are the specific skills and attributes that you will bring to the organisation?*
- *What do you understand by the term 'Professional boundaries'?*
- *What would you do if you found yourself in a situation of confrontation with a child or adult at risk, or if they were being verbally abusive towards you?*
- *What would you do if you found yourself in a situation of confrontation with a family member or carer, or if they were being verbally abusive towards you?*

Leading questions

Avoid questions that will lead candidates to your desired response as they only encourage candidates to tell you what you want to hear.

For example:

- *Obviously, you would consult with your manager prior to giving advice about our service, wouldn't you?*

Assessing candidates

Prior to the interview, the panel must meet to agree on the evidence they will be looking for in assessing candidates, expanding on the detail of each item on the person specification if necessary. For each question asked they need to set out the "ideal" response, listing the key points they would want the candidate to include in their answer. All panel members must have a shared understanding of the knowledge, skills and abilities of the "ideal candidate" to act as a benchmark against which to compare candidates at interview.

The interview

When the candidates arrive there should be someone there to greet them. They should not be kept waiting for an unreasonable length of time. Time management during the interview is essential. The room should be suitable for private conversation with a relaxed, friendly and uninterrupted atmosphere. A drink of water should be made available for the candidates and panel members. If the interviews run over the lunch period, a break should be included in the timetable of interviews. You need to have a short break between interviews to maintain your concentration. A longer break after **two or three** interviews is suggested. You need to consider how many interviews you can realistically do per day and maintain your concentration and attention. A maximum of six interviews per day is suggested.

Interviews should be a positive experience as much as possible for both panel and interviewee. The interviewer needs to let the candidate do most of the talking, encouraging them to speak about themselves. Interviewers should not allow any discriminatory questions, harassment, or any other conduct that breaches the equal opportunities policy. If there is any discussion of criminal convictions during the interview this information must remain confidential and only shared with relevant bodies / individuals.

All panel members should take notes. Interviewers need to be skilled in taking succinct notes such as key points, phrases or words that reflect the candidate's answers. These notes should be as accurate as possible and relate to the criteria on the person specification.

Listening

One of the most useful interpersonal skills is the ability to listen actively. Most people use their energy in talking rather than listening and good listeners are rare. Developing good listening skills will help an interviewer to take constructive interview notes, which can prove invaluable when deciding on which candidate to appoint. Together with attentive listening skills, the interviewers need sensitivity to the candidate's responses and alertness to body language, to identify incongruities and areas that require further probing.

Listen for inconsistent or inappropriate responses and/ or areas that need additional questioning. Also pay attention to any non-verbal communication. For example, are there any differences between facial expressions and/ or gestures and what they are actually saying?

Remember

It is important that you ensure you have clarified the reasons why a candidate has changed their employment and been given a full explanation for any gaps in employment history.

Common sense also suggests that where answers raise issues or are inconsistent in some way that raises concerns on your part, then do remember equalities legislation does not prevent these answers from being followed up. It is only fair that they should be.

Interview checklist

Task	Action (who will take responsibility for this task)	Date (when task needs to be completed)
Refreshments ordered		
Room prepared		
Papers prepared and available for interview panel		
Set up test		
Prepare equipment		
Greet candidates		
Taking candidates into the interview		
Seeing candidates out of the interview		

Structure of the interview

Beginning

The panel chair should:

1. Introduce all panel members
2. Inform the candidate of the length of the interview and explain the structure of the interview
3. Explain that notes will be taken throughout
4. Inform the candidate that they will have the opportunity to ask questions at the end

Middle

The interviewers need to:

1. Keep control of the interview to ensure the candidate provides relevant information in order to assess how well the candidate meets the requirements of the person specification
2. Ask questions that gauge the candidate's abilities and listen to the response
3. Follow up with supplementary/probing questions if the candidate's answers are vague, to ensure the candidate is given every opportunity to demonstrate the particular qualities being tested

End

The candidate should feel that they have been given a good opportunity to demonstrate their suitability for the post.

The panel chair should:

1. Ask the candidate if they have any questions
2. Inform the candidate when the decision will be made
3. Provide the candidate with information about the next stage of the recruitment process
4. Thank the candidate for attending the interview

Check documentation / identity of the candidate either at the beginning or the end of the interview process to ensure that the person who has presented for interview is the actual candidate.

After the interview

Panel members should separately score the candidate. They should then share their scores with each other and discuss and explain their reasons for reaching their score. Responses need to be checked against agreed criteria and the decision-making process needs to be clear. This discussion should result in a joint, agreed score for each question.

The following rating system can be used:

The rating system operates by applying scores of 1 to 5 as follows:

- 1 = No knowledge
- 2 = Some of the required qualifications / basic knowledge
- 3 = Has the required qualifications / satisfactory knowledge
- 4 = Has an additional qualification / above average knowledge
- 5 = Has additional qualifications / exceptional knowledge

Prior to interviewing, the panel must agree, for each item on the person specification, what level of evidence constitutes a "5", or a "3" to assist them when it comes to scoring.

It may be that particular items on the person specification are more important than others and require weighting. The panel should have agreed this in advance. If a requirement has been rated, the scores for that particular requirement are doubled. Candidates' scores may be summed to arrive at a total score identifying the candidates who have consistently scored higher than the rest.

PLEASE REFER TO:

Appendix 5 for the panel assessment form template

Successful candidate informed

Once the panel makes its decision the successful candidate is informed of the outcome of the interview by phone and letter. It must be explained to the candidate that the offer is subject to relevant pre-employment checks. These include references, CRB, qualifications and medical checks.

PLEASE REFER TO:

Appendix 6 for the model provisional offer of employment letter

Pre-employment checks

Written references

All posts should be offered subject to the receipt of satisfactory written references, however, an offer made before references have been received and considered does carry a risk.

References must stringently be followed up!

- No formal offer of employment should be made prior to the receipt of two satisfactory written references. However, formal offers of employment can be made subject to the receipt of satisfactory references
- The panel chair will approve (and ensure authenticity) / reject all written references (some organisations insist that recruiting managers telephone referees to verify authenticity)
- If written references are unsatisfactory you may follow them up with a phone call to gather further information. It is possible to withdraw the conditional offer if a reference is unsatisfactory
- You can inform the candidate that you reserve the right to contact all previous employers
- References should only be used to confirm the panel's decision - not to make it!

If you are employing a current employee in a new post and the people on the interview panel are the only ones who can give references there are two options:

1. You can seek a reference elsewhere in relation to the candidate's appointment

Or

2. Given that you know the candidate as an employee they can be appointed without obtaining a reference.

If you wish to make the appointment without seeking a reference (option 2), a written statement from the interview panel chair is required. This statement must confirm that the panel chair is aware of the Warner guidelines that are applicable to the position, has considered the implications of employing the candidate without obtaining a reference, is confident that the candidate is suitable for the role and is willing to waive references. This statement must be kept on file for future reference

Please note: As references are open an applicant may subsequently view their reference.

If you are requested to provide a reference you need to ensure that you are the appropriate person to do so. You can verify this with your organisation's Human Resources Department or Management Committee or the relevant professional registration bodies.

PLEASE REFER TO:

Appendix 7 for the model reference request letter
Appendix 8 for the model reference form

Reading references

When reading references you need to keep the following in mind:

- They should be from former / present employers, teachers, or an independent person who can provide a character reference. They should not be from friends or family members
- They should provide you with factual information
- They need to be on the organisation's headed notepaper or have the organisation's stamp
- Any gaps or missing information need to be identified and noted
- The content of the references should be checked against the application form to ensure that the information provided by the candidate and referee is consistent. Any discrepancy should be taken up with the applicant at interview or after if the reference is received later
- If you are uncertain about the content of the reference, or have identified gaps, these should be followed up by a phone call to the referee. You need to verify that the person on the phone is who they say they are. You can do this by asking them to confirm the personal details they provided on the reference form
- The General Social Care Council requires that all referees are telephoned to verify references. Other organisations may wish to follow the same procedure
- The interview panel should discuss any concerns about references
- If the reference raises concerns these can be discussed with the candidate
- If the references and the candidate's explanations are not adequate these are grounds for not hiring the candidate

Medical check

All candidates must complete a health questionnaire before any formal offer of employment is made. To ensure compliance with the Equality Act 2010 the interview panel must ensure that questions about an applicant's health are not asked until an offer of employment is made

PLEASE REFER TO:

Appendix 9 for the model health questionnaire

Proof of eligibility to live and work in the UK

The Asylum and Immigration Act 1996 requires organisations to ensure that candidates possess documentary evidence of their eligibility to live and work in the UK. All documents should be photocopied and the copies kept on file.

Work permits

All successful candidates who are not EU or EEA nationals and do not have leave to remain and work in the EU must have a work permit. Employers can arrange for sponsorship under the Home Office points based system for job roles that are hard to recruit to. Guidance on employer sponsorship can be found on the Home Office website www.homeoffice.gov.uk.

Work permits are not transferable between employers. Candidates who hold a work permit for another employer will require a new work permit for your organisation. You must ensure that the candidate has an up to date work permit, as it is unlawful to employ someone without a valid work permit.

Criminal Records Bureau (CRB) checks

For posts with access to, and contact with children or adults at risk of harm, you must check for past criminal records. Checks must be undertaken for all paid staff and volunteers. Standard CRB Checks are primarily for posts that involve working with children or adults at risk of harm. They may also be issued for people entering certain professions, such as members of the legal and accountancy professions. A Standard Check will contain details of any spent and unspent convictions, as well as cautions, reprimands and warnings, recorded by the police centrally. It will also indicate if there are no such matters on record.

Enhanced CRB Checks are for posts that involve a far greater degree of contact with children or adults at risk of harm. Enhanced CRB Checks contain the same details as a Standard Check but may also contain non-conviction information from barred occupational lists and local police records, which a chief police officer thinks may be relevant in connection with the matter in question. As Enhanced Checks provide more information we recommend that Enhanced Checks are undertaken for all staff and volunteers.

Posts involving working with children or adults at risk of harm will have been identified as exempt from the Rehabilitation of Offenders Act 1974, which protects individuals from having to disclose convictions after a certain length of time. Applicants are obliged to declare any criminal convictions on a separate section of the application form. A police check will then be undertaken on the successful candidate. A criminal conviction in itself should not be a bar to working for the organisation but the panel must examine the existence and content of any criminal record the bureau holds on the candidate before formally offering them the post.

Some convictions may not be considered relevant to the job for which the candidate has applied and does not rule out their being employed by your organisation. Information must be treated with the strictest confidence and those deemed unsuitable for employment must be prevented from working in your organisation. If you have any questions about the relevance and status of previous convictions please check with your HR service provider.

A CRB screening can take up to six weeks.

PLEASE REFER TO:

Appendix 10 for an example of a risk assessment form

If you want to arrange regular (every 3 years) CRB checks for your organisation contact Anne Whitaker, Human Resources Department, London Borough of Islington. Anne can arrange the CRB Checks for you. The charge for an Enhanced CRB Check is a £64 for paid staff. The charge for volunteers who do not receive any payment save only travel expenses is a £10 administrative fee.

If you would like Anne to process the CRB checks for you contact her on 0207-527-4264 or by email at anne.whitaker@islington.gov.uk. If you are not using the London Borough of Islington as an umbrella counter-signatory to process your CRB Checks applications need to be counter-signed by a person registered with the CRB. The counter-signatory is authorised to sign applications, check the applicant's documents and ask exempt questions, for example, if the person has a criminal record.

Regret letters sent

Unsuccessful candidates are informed in writing that they were not successful.

Formal offer of employment made

Once all checks and references are received and reviewed as satisfactory the formal offer of employment is made.

PLEASE REFER TO:

Appendix 11 for the model formal offer of employment letter

Appendix 12 for the model contract of employment

Appendix 13 for the model email and internet policy

Remember

In certain circumstances, making false or misleading statements to gain employment may be a criminal offence and that subsequent identification of significant and material omissions or inconsistencies may render the applicant/candidate/new employee liable to instant dismissal.

[See also – declaration form at p.47].

Induction

In order to help staff settle into their new environment and start to perform effectively induction and probation arrangements are important.

Induction training needs to cover the following:

- Information about the immediate environment, introducing new colleagues
- Information about the organisation, its purpose, aims, structure, policies, procedures, priorities
- Their role and responsibilities in the workplace
- Their terms and conditions of employment
- Introduction to your child and adult protection policies and procedures including roles and responsibilities
- Information about the ongoing training available in child and adult protection. Both Islington Safeguarding Children Board and the Islington Safeguarding Adults Partnership Board offer a wide range of free safeguarding children and adults courses and seminars
- Familiarisation with local policies, procedures and resources.

All staff and adults who have access to children and adults at risk of harm are required to meet mandatory safeguarding learning requirements and employers should also consider how to meet relevant discretionary safeguarding requirements.

Staff working in Adult Social Care must complete the Common Induction Standards at www.skillsforcare.org.uk. They should also complete the National Competency Framework for Safeguarding Adults.

Probationary period

All permanent staff must complete a 6-month probationary period. Volunteers should also complete this probationary period. It is important to use this time productively to monitor and review whether the person is suitable for the post and safe to work with children or adults at risk of harm. Attention should be given to the new worker's approach to working with children and adults at risk of harm, their behaviour and attitudes and commitment to them. Training is important to develop skills and knowledge.

Supervision with staff and volunteers should take place regularly and written records kept of all sessions. This is especially important during a Probationary Period when Supervision may need to be more frequent. Procedures need to be in place which ensure regular feedback, offer support, draw attention to areas of concern and let managers / supervisors know of any difficulties. Supervision is used as means of protecting children and adults at risk of harm, discussing worries and keeping records of action points and concerns.

Staff on short-term / limited hours contracts also need to be properly supervised and monitored. Any concerns need to be recorded. Failure to meet required standards procedures applies to all staff and volunteers.

Any concerns about the safety of staff should to be referred to managers / supervisors. Staff / volunteers should be encouraged to raise concerns about colleagues in confidence. Managers / supervisors should attend training on risk assessment and how to handle concerns.

Failure to meet required standards

If the probationer's performance (including work performance, conduct, behaviour and attendance) does not meet required standards, the manager / supervisor should meet with them. The probationer is warned that a failure to make a sustained and acceptable improvement will lead to dismissal.

The manager / supervisor should consider appropriate steps with the probationer which may be appropriate to remedy the situation. For example, standard setting, close supervision by someone experienced in the work, monitoring, alteration of duties and responsibilities and objectives (temporary or permanent) and if appropriate in the circumstances and if practicable, additional training and development. A reasonable review period should be set depending on the nature of the duties and the standards required.

The outcome of the meeting, and any warnings given about the consequences of failing to meet the required standards, must be confirmed in writing to the probationer.

At the end of the review period

At the end of the review period the manager / supervisor considers:

- Whether or not the probationer's performance (including work performance, conduct, behaviour and attendance) demonstrates that they fully meet the requirements of the job;
- Appear to be safe to work with children or adults at risk of harm;
- Whether or not the probationer's employment should be confirmed.

If it is decided that the probationer has met the required standards, the manager / supervisor meets the probationer again and informs the probationer that required standards have been met and that, provided these standards are maintained, the probationer's employment will be confirmed. This advice should be confirmed in writing.

Consideration of the probationer's continued employment if required standards are not met

The manager / supervisor will meet the probationer (with a trade union official or colleague if required by the probationer) and review the probationer's performance (including work performance, conduct, behaviour and attendance). Action which may be taken by the manager / supervisor includes, but is not limited to the following:

- that the probationer's employment may be confirmed.
- that the probationary period should be extended.
- continue employment but in a lower graded job.
- that the probationer should be dismissed with notice.

The probationer should be given three clear working days written notice of the meeting, a written report on their work performance, the steps taken to improve this and appropriate documentation (e.g. records of meetings). The probationer should be invited to submit written observations of the report, and advised that this procedure allows for the meeting to be conducted in their absence if they fail to attend.

The outcome of the meeting must be confirmed in writing to the probationer.

A probationary period should not be extended to compensate for period(s) of non-attendance during the probationary period.

Appeals

A probationer may appeal in writing against dismissal under this scheme within five working days of the issue of written confirmation of dismissal.

An appeal should be considered by senior staff / members of the organisation who were not involved in the decision to dismiss the probationer.

A probationer may be represented by a trade union official or colleague, if they wish.

PLEASE REFER TO:

Appendix 14 for the model supervision format

Appendix 15 for the model satisfactory completion of probationary period letter

Whistle-blowing [Public Interest Disclosures]

Whilst not a requirement, employers are strongly encouraged to adopt a whistle-blowing policy so that employees, volunteers and client groups have the opportunity to raise concerns anonymously, if they wish.

If you have such a policy employee, volunteers and client groups should be made aware of it so that mechanisms are in place to act upon concerns that may be raised.

For further information on public interest disclosure see: [Public Concern at Work](#)

Appraisal and development

Appraisal and development provides the opportunity for regular feedback, supports personal development and recognises good work and poor performance. It is also useful for assessing the risk of existing employees and volunteers.

General

Supervision should take place regularly, every 2 to 3 weeks. Appraisal should take place twice a year. Supervisors and employees should prepare in advance for supervision and appraisal. Don't go into them 'cold' - be clear about what needs to be discussed. Key discussion points and decisions should be recorded in writing with a copy to supervisor and supervisee.

Objectives should be set with an emphasis on providing advice and direction in respect of:

- Safeguarding children and/or adults at risk of harm
- Ensuring that services are delivered within the framework of diversity and equal opportunities

Setting objectives

- Appraisal objectives should not be a list of tasks. They should make a real difference to performance
- Objectives should support team working.
- 4-6 objectives including personal development objectives are appropriate for a full time employee working for the whole year. Managers/ supervisors should consider the appropriate numbers and scope of objectives for part time and sessional staff, volunteers and staff joining the organisation during the year
- It is important that managers / supervisors, staff and volunteers agree on objectives set. However, it is ultimately the manager's / supervisor's responsibility to ensure that objectives are appropriate and sufficiently challenging.

Supervision and appraisal in practice

- They should enable staff / volunteers to reflect on and discuss their practice
- Offer constructive feedback on issues relating to their practice, attitude and behaviour
- The overall quality of work should be discussed and reviewed
- The appraisal process should be supported throughout the year by regular one-to-one supervision
- Objectives should be revisited during the appraisal year to take account of changing priorities
- Progress should be reviewed against objectives

- Understanding of responsibilities to disclose to the employer any concerns about unsafe, unsatisfactory or other behaviours likely to affect the well being of others or the organisation should be checked periodically.

Useful websites / contacts

Chartered Institute of Personnel and Development www.cipd.co.uk

Criminal Records Bureau www.crb.gov.uk

Data Protection Act 1998 www.hmsso.gov.uk/acts/acts1998/19980029.htm

Department of Health www.doh.gov.uk

The Protection of Vulnerable Adults Act 1999: A practical guide for all organisations working with Vulnerable Adults
No secrets Guidance on developing and implementing multi-agency policies and procedures to protect vulnerable adults from abuse (2000)

Disclosure information: www.disclosure.gov.uk

Code of Practice and Explanatory Guide for Registered Persons and Other Recipients of Disclosure Information

Equality and Human Rights Commission www.equalityhumanrights.com

Home Office www.homeoffice.gov.uk

Wiping the Slate Clean
Safe from Harm: Safeguarding the welfare of Vulnerable Adults in voluntary organisations in England and Wales
Criminal Justice and Court Services Act 2000: Protection of Vulnerable Adults guidance
Rehabilitation of Offenders Act 1974,

Human Rights Act 1998 www.hmsso.gov.uk/acts/acts1998/19980042.htm

Independent Safeguarding Authority (ISA) www.isa.gov.org.uk
03001231111

The Independent Safeguarding Authority (ISA) has been created to help prevent unsuitable people from working with children and vulnerable adults

National Association for the Care and Resettlement of Offenders (Nacro)
www.nacro.org.uk

Crime reduction charity and advice on resettlement of offenders

Public Concern at Work www.pcaw.co.uk

Public Concern at Work (PCaW) is the independent authority on public interest whistleblowing.

Appendices

Appendix 1 – Job Description Template

Post:

Post No:

Grade:

Service Area:

Section:

Responsible To:

Primary Job Function

Duties and Responsibilities

Appendix 2 – Person Specification template

The person specification is a picture of skills, knowledge and experience required to carry out the job. It has been used to draw up the advert and will also be used in the shortlisting and interview process for this post.

You should demonstrate on your application form how you meet the following criteria.

Service Area:	Section:	
Designation:	Grade:	
REQUIREMENTS		
EDUCATION and EXPERIENCE		A/I/T
1		
2		
3		
KNOWLEDGE, SKILLS AND ABILITY		
4		
5		
6		
7		
8		
9		
10		
Assessed by: A = Application I = Interview T = Test		
OTHER REQUIREMENTS		
Enhanced CRB		

Appendix 3 – Application Form template

Please refer to the Guidance Notes on completing the application form.

Job Title:	Deadline for receipt of form:
-------------------	--------------------------------------

PERSONAL DETAILS

Surname: _____ **Forenames:** _____

Address:

Post Code: _____

Telephone: Day _____ **Evening** _____ **Mobile** _____
(please specify times or dates when it is convenient to call)

Email Address:

Do you require a work permit work in the UK? Yes No

If yes please provide a copy with this application

If you are disabled, would you require any assistance at the interview? Yes No

If yes, please specify:

Please tell us where you heard about this job vacancy or where you saw it advertised:

APPLICATION TO BE RETURNED TO:	Name of Organisation Address Telephone Fax
---------------------------------------	---

Please use this space to tell us about your current or most recent relevant work (paid or otherwise).

<p>Name of Employer:</p> <p>Address:</p> <p>Post Code:</p> <p>Telephone No:</p> <p>Date Started:</p> <p>Date left (where applicable):</p>	<p>Post Held:</p> <p>Salary/Grade:</p> <p>What is your notice period?</p> <p>Reason for leaving / wishing to leave:</p>
<p>Summary of Current Duties:</p>	

PREVIOUS EMPLOYMENT Please give details of your full employment history, detailing any periods of unemployment and unpaid/voluntary work (most recent first). Continue on a separate sheet if necessary.				
Dates From To	Name and address of organisation	Telephone and contact	Job/Role and brief description of main duties	Reason for Leaving

REFEREES (Important! Please refer to Application Form Guidance before completing.)

Referee No.1 Your current/most recent line manager/employer	Referee No. 2 Most previous employer/other relevant referee (someone who knows you in a professional or training/education context).
Name: Job Title: Address: Tel No: Fax No: E-mail address: Relationship to you:	Name: Job Title: Address: Tel. No: Fax No: E-mail address: Relationship to you:
May we approach this referee prior to interview? Yes <input type="checkbox"/> No <input type="checkbox"/>	May we approach this referee prior to interview? Yes <input type="checkbox"/> No <input type="checkbox"/>

Please tell us about any courses or training that you have been on.

Dates From To	Name & Address of Institute/Training Body	Name of Course	Areas covered	Results/certificate s/qualifications gained

GSCC QUALIFICATION

Please give details:

GSCC number (if applicable):

RELEVANT EXPERIENCE / FURTHER INFORMATION

The person specification indicates the types of knowledge, skills and experiences that are needed to carry out this position. Please use the space below to demonstrate your knowledge, skills and experience in the areas outlined in the person specification. You may include details of other paid/unpaid work, voluntary work and work at home, committee and club experience/activities and any relevant hobbies etc.)

Please continue on a separate sheet if necessary.

Criminal Convictions

The post for which you have applied is exempt from the provisions of Section 4(2) of the Rehabilitation of Offenders Act 1974, by virtue of the Rehabilitation of Offenders Act (ROA) 1974 (Exemptions) Order 1975. Therefore, you are required to provide full details of all convictions, cautions and bind-overs including those regarded as spent under the ROA, and any pending prosecutions. In the event of employment any failure to disclose such sentences or convictions could result in dismissal or other disciplinary action.

Under arrangements for the protection of adults at risk of harm, we will check with the police about the existence and content of any criminal record. This is a Criminal Reference Bureau (CRB) Disclosure. Police checks will only be made on the successful applicant. Failure to declare a conviction, caution, bind-over or a pending prosecution, may disqualify you from appointment or result in summary dismissal. **However a criminal conviction spent or unspent will not automatically exclude you from employment from the council.**

Do you have a Criminal Conviction(s) or police Caution(s), spent or otherwise? Yes No

If yes, please provide details including dates:

Please answer the following:

Have you previously used, or do you currently use, any other surname(s)? Yes No
If YES, state the other surname(s) you use(d):

Do you have any criminal records to declare? Yes No
This includes: prison sentence, bind-over, caution, discharge, probation, conviction, fines, community service, punishment orders, curfew, drug treatment/testing, reparation orders, compensation.

If YES, when did this take place? What was the charge?

Are there any current criminal proceedings against you?

IF YOU HAVE ANSWERED YES TO EITHER OF THE QUESTIONS ABOVE, PLEASE GIVE DETAILS ON A SEPARATE SHEET

DECLARATION

**I have completed this application form accurately and truthfully. I have not withheld any information that could reasonably be considered relevant to my application.
I understand that the appointment, if offered, will be subject to information given on this application form being correct. Providing false information with regard to this application shall disqualify the applicant from such an appointment, or if discovered after employment, may lead to dismissal.**

Signed:

Full Name:

Date:

Confidential - Equal Opportunities Monitoring Form

Monitoring Information

In order that we can effectively monitor recruitment detailed monitoring of applications is carried out. This necessitates collecting information regarding your gender, ethnic group and any disability you may have. Your co-operation would be appreciated. This information is used solely for monitoring purposes. It will be treated as confidential and this sheet will be detached from your application from on its receipt and before shortlisting of candidates takes place. It will not be used as part of the selection process.

Job Title:

Your Name:

Female **Male** **Date of Birth:**

White	Mixed	Black Black British	Asian Asian British	Other
British <input type="checkbox"/>	White & Black Caribbean <input type="checkbox"/>	Caribbean <input type="checkbox"/>	Indian <input type="checkbox"/>	Chinese <input type="checkbox"/>
Irish <input type="checkbox"/>	White & Black African <input type="checkbox"/>	African <input type="checkbox"/> please specify Somali <input type="checkbox"/> Eritrea <input type="checkbox"/>	Pakistani <input type="checkbox"/>	Filipino <input type="checkbox"/>
Turkish/ Turkish Cypriot <input type="checkbox"/>	White & Asian <input type="checkbox"/>	Nigerian <input type="checkbox"/> Ghanaian <input type="checkbox"/>	Bangladeshi <input type="checkbox"/>	Vietnamese <input type="checkbox"/>
Greek/ Greek Cypriot <input type="checkbox"/>				
Kurdish <input type="checkbox"/>				
Other <input type="checkbox"/>	Any other mixed <input type="checkbox"/>	Other <input type="checkbox"/>	Other <input type="checkbox"/>	Any other ethnic group <input type="checkbox"/>

If you selected any of the 'other' categories, please could you specify how you would further describe yourself:

.....

Disability

Do you consider yourself to have a disability? Yes No

If yes, please give details:

.....

.....

Guidance Notes On Completing Your Application Form

Important! Please Read These Notes Carefully

These notes have been written to help you make the best of your application. The decision to shortlist you for interview will be based on the information you provide on this application form.

1. Read through each section of the application form carefully. You may find it helpful to do a rough draft in pencil first. Please keep photocopy of your completed application form, for your own reference.

2. This form should be completed in black ink or type for photocopying purposes.

3. The person specification describes the essential skills, knowledge, experience / professional qualifications which you will need in order to do the job as described in the job description. Your completed application form should demonstrate that you have these skills and that you understand and are committed to equal opportunities.

4. The first referee quoted on the form should be your present or most recent line manager/employer. The second referee should be another line manager from your most previous employment. If you have not been employed, or have been out of employment for a period of time, you may wish to give the name of anyone who knows you sufficiently well in a professional or training / education capacity to confirm the information you have given, and to comment on your ability to do the job.

5. The "Relevant Experience/Further Information" section of this application form is very important. **THIS IS WHERE YOU MAKE YOUR CASE FOR THE JOB.** Examine the skills and experience being asked for and provide evidence by giving specific examples that you possess those **RELEVANT** to do the job. Give thought to previous work experience or other responsibilities that

may assist you to uncover skills that you may have taken for granted. Do not forget the skills and experience that you may have gained outside full-time work. If you have been out of paid employment for a long time, or have never been employed before, your job history may be less important than some of the responsibilities and experience that you have had more recently. For example, you may have considerable domestic responsibilities or may organise social or community activities in your spare time.

6. When completed, please read through your application form carefully, checking for errors or omissions. Make certain your application form is sent in plenty of time, to reach us prior to the closing date.

7. For reasons of economy, we do not usually acknowledge receipt of application forms, but if you wish us to do so, please send a stamped-addressed envelope with your application.

8. If you have a disability and require assistance when attending an interview please give brief details on the application form (see Personal Details).

9. To help us decide where to advertise our posts in the future, please state clearly where you saw the post advertised (see Personal Details).

10. To help us monitor our recruitment all candidates are requested to complete the section on monitoring. This will be treated as confidential and will be **detached** from the application form before shortlisting.

Appendix 4 – Shortlist Analysis Form Template

Job Title:	Interview date:	Test date:	Available times for interviews:	Available times for tests:
Position:	Interview location:	Test location:		

Candidates Details		Education			Knowledge, skills and abilities							Shortlist y/n
Surname	First Name	1*	2	3	4	5	6	7	8	9	10	

*These numbers relate to the criteria on the person specification
 Y = Meets criteria N = Does not meet criteria ? = Unclear

Panel members:	Signature of panel chair:

Appendix 5 – Panel Assessment Form Template

Job title:	Panel members:
------------	----------------

Interview and test analysis

Candidates Details		Education			Knowledge, skills and abilities							Total	Tests	Outcome
Surname	First Name	1	2	3	4	5	6	7	8	9	10			
1 = No knowledge 2 = Some of the required qualifications / basic knowledge 3 = Has the required qualifications / satisfactory knowledge 4 = Has an additional qualification / above average knowledge 5 = Has additional qualifications / exceptional knowledge												O = Offer R = Reserve U = Unsuitable		

Offer details

Proposed salary:	Location:	Full time/part time/job share:	Benefits and allowances:
Grade:	Fixed term or permanent : (please indicate length of contract)	Hours per week:	

Signature of panel chair:

Appendix 6 – Model Provisional Offer of Employment Letter

Date

Private & Confidential

Name of Organisation
Address
Telephone
Fax

Dear,

Following your recent interview, I am pleased to be able to provisionally offer you the position of _____, subject to the receipt of two satisfactory written references, medical questionnaire, Criminal Records Bureau screening and work permit where necessary.

Meanwhile, I have written to your referees and would be grateful if you could contact them to ensure they promptly respond to our requests.

If you have any queries with regards to the above, please do not hesitate to contact me on the above telephone number.

Yours sincerely,

Name
Panel Chair

Appendix 7 – Model Reference Request Letter

Name of Organisation
Address
Telephone
Fax

Private & Confidential

Dear (Referee's Name
Address)

Date

Reference request

Name:

Post applied for:

Job title:

The above-named person has applied for a post with (name of organisation) and has given your name as a referee. A job description and person specification for the post is enclosed and I would be grateful if you could provide an assessment of their suitability for the post by completing the attached reference request form.

Please note that in order to protect the public, this post is exempt from Section 4(2) of the Rehabilitation of Offenders Act 1974 by the virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, amended by the Rehabilitation of Offenders Act 1974 (Exceptions) (Amendment) Order 1986. Therefore, it is not in any way contrary to the Act to reveal any information that you have concerning convictions that would otherwise be considered as "spent". Any such information will be kept in strict confidence, and used only in the consideration of the suitability of the applicant for this position. This information will not be disclosed to the applicant. The applicant is able to view the remainder of the reference.

To enable us to appoint (name of candidate) to this position, I would appreciate a reply by return of post by (date). Failure to return the questionnaire by this date could jeopardise the employment of the above named person.

Please contact me if you have any queries regarding the reference. I may need to contact you by phone if clarification or further details regarding this reference are required.

I thank you in advance for your assistance.

Yours sincerely,

Name
Panel Chair

Appendix 8 – Model Reference Form

Name of Organisation
Address
Telephone
Fax

**Private & Confidential
REFERENCE REQUEST**

This is a standard reference request form for use by both employers and personal referees. Please complete all relevant sections using additional sheets if required. Please ensure this reference is factual and does not contain any material misstatement or omission.

Reference For:

Name:

Job title:

Reference Provided By:

Name: _____ (please print)

Job title: _____

Section 1

1. Are/were you the applicant's employer: Yes No
Dates employed: _____

2. Applicant's Job Title:

3. If you are the applicant's former employer please state why the employment ended.

4. Please comment on the applicant's responsibilities and performance in their current position:

5. Are you providing a personal reference: Yes No
Dates known to you: _____

6. Capacity in which the applicant is known to you?

Section 2

1. How many days of sickness absence has this person taken in the last twelve months? _____

(a) Please indicate the number of occasions and reasons for absence?

(b) How many unauthorised absences has she/he had? _____

2. Does the applicant have a formal disciplinary record*? Yes No

(a) Are any of these records still the subject of appeal? Yes No

(b) What was the nature of these formal disciplinary warnings / cautions?

Please give details:

* Formal disciplinary record means the employer has a set of recognised procedures that provides the right of representation. The employee is aware of these procedures and their record and it is not subject of an appeal.

(c) Are any formal disciplinary investigations pending? Yes No

If yes. please state circumstances: _____

3. Can you confirm whether or not a Criminal Reference Bureau (CRB) check has been carried out and received by your organisation?
Yes No

(a) If yes, can you provide the date when the check was completed?

(b) Since the post is exempt from provision of the Rehabilitation of Offenders Act 1974 (Exemptions Order 1986), it would be in order for you to reveal any information you have about any convictions received by the applicant. Please provide any information you have.

4. When did the applicant complete a satisfactory probationary period?

Section 3

1. You are asked to provide information as to the suitability of this person to the post by identifying strengths and weaknesses as related to the requirements set out in the job description and person specification, giving examples as evidence, if possible. For example, ability to successfully undertake the tasks described, relationships with colleagues/managers, working with/without supervision, quality of work, etc: Where appropriate, you should also include reference to any training and development undertaken.

(a) Knowledge and experience, and active commitment to equal opportunities in service provision.

(b) Judgement when working under pressure.

(c) Planning and prioritising workload.

(d) Ability to communicate clearly and appropriately, both orally and in writing.

(e) Please comment on the applicant's honesty and integrity.

(f) Do you have any reservations about the applicant having unsupervised contact with children or adults at risk of harm? Yes No

If Yes, please specify why

(g) Are you aware of any reasons why the applicant may or may likely to be seen as someone who may not be a suitable person to work with children or adults who may be vulnerable and at more risk of harm? Yes No

If Yes, please specify why

2. Would you re-employ this person? Or do you recommend them for employment? Yes No

If No, please specify why

Please note that this is an open reference and details may be queried or made available to the candidate.

Signature: _____

Organisation: _____

Position in Organisation: _____

Telephone number: _____

Fax number: _____

E-mail: _____

Date: _____

ORGANISATION STAMP HERE PLEASE

If you do not have a stamp please attach headed notepaper.

Appendix 9 – Model Health Questionnaire

(Adapted from University of Oxford Medical History Form)

(Name of organisation) will complete Part I of this form. The candidate will complete Part II. The applicant should then return the completed questionnaire to *(Name of organisation, address)*.

A medical assessment will be made on the basis of this questionnaire. Where appropriate a further medical examination may be necessary. This examination will be undertaken by the candidate's GP.

Part I

To be completed by *(Name of organisation)*

Personal Details

Name:

Address:

Date of Birth:

Job Title:

Grade:

Strictly Confidential

Part II

To be completed by the Candidate

The Following Questions Must Be Answered By The Candidate:

Have you been unavailable for work (or unable to attend your place of education) for medical reasons for one or more periods of more than three weeks duration in the last five years?

YES / NO

If yes, please give details of each absence of more than three weeks duration:

How many days in total have you been unavailable for work (or unable to attend your place of education) for medical reasons in the past year?

.....
.....

1. Are you receiving or have you recently received medical attention, **YES / NO**
or taken any medicine or drugs that might affect your capacity to
do the job for which you have applied or to work safely?

If yes, please give details:

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

2. Do you have any illness, allergy, or other condition (see note (i) **YES / NO**
below) which might affect your suitability for employment in the
position for which you have applied, or which might affect your
ability to work safely?

If yes, please give details:

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

Note (i) Examples of illnesses or other conditions which are relevant to Question 4 include:
vision deficiencies, disorder of the heart or arteries, diabetes, chronic infection, epilepsy, fits,
fainting, blackouts, giddiness, back trouble, arthritis, chest complaints, drug or alcohol-related
problems, psychiatric conditions, etc. (This list should not be regarded as exhaustive).

The information supplied on this form will be held in accordance with the principles of the Data
Protection Act 1998.

I certify that to the best of my knowledge and belief my answers to this questionnaire are
correct and I have not withheld any relevant information.

Date:..... **Signature of Candidate:**

Appendix 10 – Criminal Records Bureau (CRB) Risk Assessment Form

This form should be used:

1. If an employee / volunteer starts without CRB clearance, *or*
2. When an employee who is already in post does not have an up to date CRB (e.g. the CRB has not be renewed by the third year anniversary).

Risk Assessment			
Name of person who is the subject of the risk assessment:			
Position:		Grade (if applicable)	
Grade (if applicable)			
Place of work /volunteering			
Outline of main duties:			
Date of CRB interview			
Reason for the Risk Assessment:		Reason 1 or 2 above (delete as appropriate)	
Assessment undertaken and outcome			
Measure(s) to be put in place while waiting for CRB clearance:			
Assessment undertaken by:			
Date of assessment:			
Manager's declaration:			
<p>1. I accept responsibility for the appointment / continued employment of the above named while awaiting the outcome of the CRB disclosure. I confirm that until the CRB check on the above person is completed that the above named will be constantly supervised and will not deal with vulnerable adults and /or children or; have access to databases containing information on children and / or vulnerable adults without direct supervision.</p> <p>2. While waiting for confirmation from the CRB I undertake to:</p> <ul style="list-style-type: none"> • supervise the applicant • monitor the situation until CRB disclosure is completed • explain to the applicant that the offer of employment is only temporary depending upon CRB clearance • advise the applicant that if clearance is not received within 12 weeks then the offer of employment / volunteering may be reviewed. 			
<p>Manager's designation:</p> <p>Manager's name and signature:</p> <p>Date:</p>			

Appendix 11 – Model Formal Offer of Employment Letter

Date

Private & Confidential

Name of Organisation
Address
Telephone
Fax

Dear,

I am pleased to formally offer you the position ofcommencing on
..... Before your start date, please contact your supervisor / line manager to
finalise arrangements for your first day.

This post is subject to the requirements of a six-month probationary period. At the start of your
employment your supervisor will give you details of the scheme.

Your main Terms & Conditions of employment are as laid down in your contract.

Please find enclosed a sheet giving details of your Induction to the organisation.

To accept this position, **please sign and return the enclosed copy of this letter.** If you have
any queries regarding your appointment please do not hesitate to contact me on the above
telephone number.

Yours sincerely,

Name
Panel Chair

Encl.: Contract
Job description
Induction programme

I accept the above position.

Signature.....Date.....

Appendix 12 – Model Contract of Employment

1. **Employer / Name of Organisation:**

2. **Location:**

3. **Name of Employee:**

4. **Date of Commencement of Employment:**

5. **Date on Which Contract Given:**

6. **Job Title:**

7. **Contractual Status:**

8. **Grade:**

9. **Hours:**

10. **Salary:**

11. **Allowances:**

12. **Annual Leave:**

13. **Nature of Employment**

You are employed to work as a (contractual status) in the (name of organisation) under the terms specified in this document.

14. Criminal Convictions

It is a condition of your employment that you must immediately declare criminal convictions, whether spent or not, or pending prosecutions both prior to your appointment and during the course of your employment. These must be declared to the Manager. Failure to declare a conviction, caution, bind-over or pending prosecution may disqualify you from appointment, or if you are already employed may result in summary dismissal or disciplinary proceedings.

It is also a condition of your employment that you agree that your employer may, during the course of your employment, carry out regular CRB Checks at least once every 3 years.

15. Pre-Appointment Requirements

You must meet all the appointment requirements applicable in relation to your appointment.

- proof of relevant professional qualifications (if applicable)
- proof of your date of birth
- satisfactory medical questionnaire
- satisfactory criminal conviction check
- two satisfactory references

If, following your appointment, it comes to light that the results of any of the above checks are unsatisfactory, this offer of employment would be invalid. You would subsequently be dismissed from (name of organisation) employment with immediate effect.

16. The Immigration (Restriction on Employment) order 2007,

The Immigration (Restriction on Employment) order 2007 requires (name of organisation) to satisfy itself that you possess documentary evidence of your eligibility to live and work in the UK. The documents you can provide are listed below. You must provide either 1 document from List 1 or 2 documents from List 2.

List 1	List 2
<ul style="list-style-type: none"> • Passport showing that you are a British Citizen 	<ul style="list-style-type: none"> • P60 or P45 showing NI number
<ul style="list-style-type: none"> • European Economic Area passport or identity document 	<ul style="list-style-type: none"> • Birth certificate issued in the UK or the Republic of Ireland
<ul style="list-style-type: none"> • Passport or other travel document endorsed to show that you have the right of abode in the UK 	<ul style="list-style-type: none"> • Certificate of registration or naturalisation as a British Citizen
<ul style="list-style-type: none"> • A UK residence permit issued to a national of a state which is a party to the European Economic Area Agreement, or any other agreement forming part of the Community's treaties 	<ul style="list-style-type: none"> • Work permit or other approval to take employment issued by the Home Office
<ul style="list-style-type: none"> • Passport or other travel document which is endorsed to show that the holder has a current right of residence in the UK as the family member of a named national of a state which is a party to the European Economic Area Agreement 	<ul style="list-style-type: none"> • Letter from the Home Office stating that the holder has indefinite leave to remain in the UK

	<ul style="list-style-type: none"> Asylum seekers who are permitted to work while they await a decision on their claim may have a registration card which will state employment permitted
	<ul style="list-style-type: none"> An immigration status document issued by the Home Office to the holder endorsed with a UK residence permit which indicates that the person has limited leave to enter or remain in the UK and is entitled to take the employment in question
	<ul style="list-style-type: none"> A letter issued by the Home Office indicating that the person named in the letter has a subsisting leave to enter or remain in the UK and is entitled to take the employment in question
	<ul style="list-style-type: none"> An immigration status document issued by the Home Office endorsed with a resident permit, which indicates that the holder has leave to enter or remain and is entitled to take employment
	<ul style="list-style-type: none"> Passport describing the holder as a British Dependent citizen whose citizenship derives from a connection with Gibraltar

In addition to the above you must also have sponsorship from your employer under the Home Office points based system

17. Job Duties

Your appointment is to (*name of organisation*) and as a condition of your employment you are required to carry out the duties which are outlined in your job description which may be amended from time to time.

18. Training

You are required to attend training courses as directed by your manager.

19. Terms and Conditions of Employment

During your employment with (*name of organisation*) your terms and conditions of employment will be in accordance with the provisions and rules of any local collective agreements relevant to your employment reached with the recognised trade unions.

The following personnel and employee relations' procedures apply:

- Disciplinary policy and procedures
- Grievance procedures
- Sickness leave and pay
- Parental leave
- Probation and induction
- Sickness absence
- Equal opportunities / Managing diversity
- Access to personal files
- Health and Safety policy

20. Probation Period

Confirmation of your appointment will be subject to the satisfactory completion of a period of probationary service of six months.

21. Hours of Work

Your basic working hours total (*number of hours*) a week all year round. Working arrangements are subject to variation in the interest of the efficiency of the service subject to consultation and reasonable notice.

22. Sickness Absence and Sick Pay

Notification requirements:

You or someone acting on your behalf must notify your manager / supervisor of your absence by telephone by not later than two hours after your normal starting time on the first day of absence. If you will be unfit to return on the fourth day you must give notification to your manager / supervisor by telephone or by other means, not later than two hours after your normal starting time on the fourth day.

On return from up to seven days' sickness absence you must complete a self-certification form for all absence not covered by a doctor's statement for your manager / supervisor in order that Statutory Sick Pay may be awarded for the absence.

Where your sickness absence extends for more than seven calendar days (including Saturday and Sunday) you must obtain a doctor's statement and submit this to your manager / supervisor by the eighth calendar day of absence.

All continuing absence must be covered by doctor's statements and these must be promptly submitted to your manager / supervisor.

Sick Pay

This conforms to the statutory entitlement.

23. Holidays and Holiday Pay

Annual Leave Entitlement:

Prior to making arrangements regarding annual leave you must ensure that approval is obtained in advance of the leave you wish to take. All leave is subject to the exigencies of the service.

(Name of organisation)'s leave year commences on *(date)* and finishes on *(date)* the following year. The next year's leave entitlement commences on *(date)*.

During periods of unpaid leave you will only accrue a pro rata amount of the statutory entitlement to annual leave. This includes unpaid sick and maternity leave.

(Name of organisation)'s policy is that employees should use up all outstanding annual leave prior to their last day of service.

In the event that at the date of the termination of your employment you have taken more

holiday than your pro rata entitlement, you will be required to repay any amounts owing to *(Name of organisation)*. This sum may be deducted from any outstanding salary owed to you at the time of leaving.

Public Holidays

You are entitled to eight public and bank holidays. Part-time staff are entitled to a pro-rata entitlement.

24. Notice

You may terminate your employment with *(Name of organisation)* by giving one month’s written notice. The minimum periods of notice to which you are entitled are:

<u>Period of continuous employment</u>	<u>Minimum notice</u>
Less than five years	1 month
Five years or more, but less than twelve years	1 week for each year of continuous employment
Twelve years or more	12 weeks

Notice will normally run from Monday to Sunday (the end of the pay week).

25. Professional Registration/Qualifications

Where registration or membership with/of a professional body, or the possession of a professional qualification are requirements for carrying out the duties of your post, it is a condition of your employment that these are maintained. *Name of organisation* reserves the right to ask employees to produce any necessary paperwork to prove that their professional qualifications/status remain current.

26. Membership of a Trade Union

The following rights exist in respect of membership and activities:

- the right to be a member of a trade union of your choice;
- the right not to belong to a trade union;
- the right where you are a member of a recognised trade union to take part in its activities at appropriate times and to seek election to office in the union, and to hold office in the union.

(Name of organisation), as your employer, supports the system of collective bargaining and recommends that every employee join a trade union recognised for collective bargaining purposes for the relevant employment group.

27. Grievance Procedure

If you have a grievance relating to your employment please refer to the Grievance Procedure. The policy specifies to whom and in what manner you may apply if you have a grievance or complaint.

28. Disciplinary Procedure

You are subject to the Disciplinary Procedure. All staff witnessing any act of alleged misconduct by another member of staff will be required to give evidence in any disciplinary investigation and to appear as a witness at any subsequent disciplinary hearing, if required.

Any breach of the disciplinary rules will render you liable to disciplinary action. Unless there are mitigating circumstances, an offence of gross misconduct will normally result in immediate suspension followed by dismissal, or summary dismissal.

29. Equal Opportunities

(Name of organisation) is an Equal Opportunities Employer and, as such, aims to ensure that no employee or job applicant receives less favourable treatment and actively promotes equality of opportunity in the provision of all its services.

It is a condition of your employment that you adhere to *(Name of organisation)*'s Equal Opportunities Policy and failure to do so may result in disciplinary action being taken against you.

30. Data Protection

It is a condition of your employment that you comply with the Data Protection Act 1998. *(Name of organisation)* needs to maintain a personal file relating to your employment in order to perform its role as an employer. It is important that confidential personal records are maintained as accurately as possible. You must therefore notify *(Name of organisation)* in writing of any changes in your personal circumstances, such as your address or telephone number. The information held on you will include records classified as sensitive personal data under the Data Protection Act 1998 e.g. sickness absence records. By signing this contract it will be assumed that you give explicit consent to the processing of personal and personal sensitive data solely for normal employment purposes.

31. Use of Electronic Mail & the Internet

(Name of organisation) has policies on the usage of email and the internet, which prohibit their use for anything other than official business. Failure to abide by the rules of internet and e-mail usage may result in disciplinary action being taken against you, including possible dismissal.

32. Use of Mobile Phones

(Name of organisation) has policies on the usage of company/council/organisation issued mobile phones, which prohibit their use whilst driving. The use of a hand-held mobile phone whilst driving is illegal and failure to abide by the legislation may result in disciplinary action being taken against you, including possible dismissal.

The usage of company/council/organisation issued mobile phones for personal calls is also covered by this policy. The capability to make personal calls is provided as a benefit. Any abuse of this benefit or failure to comply with the Usage Policy and its terms could potentially be considered as misconduct under the Council's disciplinary code.

33. Lone Working

(Name of organisation) has policies on lone working.

Appendix 13 – Model Email & Internet Policy

Failure to comply with the rules set out in this policy may lead to disciplinary action being taken, including dismissal.

If you are aware or suspect that abuse of email or the internet is taking place, you should raise this immediately with your manager / supervisor.

The following regulations apply:

- The email system is for official business use
- Do not use email, to sexually harass other staff / volunteers, or harass or threaten anyone in any manner
- Do not use anonymous mailing services to conceal your identity or falsify emails to make them appear to originate from someone else, or provide false information to any internet service which requests name, email address or other details
- Do not access the World Wide Web for purposes other than those for which you are employed
- Do not deliberately visit, view, or download any material from any Web site containing sexual or illegal material or material that is offensive in any way whatsoever
- Do not subscribe to any bulletin boards, newsgroups or any other internet service of any kind whatsoever without prior written permission from your manager / supervisor
- Do not download software without the prior written permission of your manager / supervisor. This includes software and shareware available free on the internet
- Do not attempt to break through any security controls

Appendix 14 – Model Supervision Format

Name:	Post/Job:	Date Started:
-------	-----------	---------------

Areas for discussion	Points discussed	Action to be taken – including when and by whom
Approach to working with children/adults at risk of harm		
Behaviour with children/adults at risk of harm		
Attitudes to children/adults at risk of harm		
Quality of Work		
Quantity of Work		
Relationships with colleagues		
Initiative		
Reliability		
Timekeeping and attendance		
Areas of concern		
Strategies in place for addressing areas of concern		
Training recommended		
Training undertaken		

Date:

Signature of supervisor:

Signature of supervisee:

Appendix 15 – Model Satisfactory Completion of Probationary Period Letter

Date

Private & Confidential

Name of Organisation
Address
Telephone
Fax

Dear (*staff / volunteer's name*)

Probationary Period

I am pleased to confirm you have satisfactorily completed your probationary period and I would like to confirm your appointment on a *permanent basis / continue your temporary employment for (*specify time period*).

Yours sincerely,

Manager / Supervisor

*delete as applicable