

To: Members of the Special Sub-Group

Councillors Hayfield, Phillips, Smith, M Stanley and Sweet

For the information of the other Members of the Council

SPECIAL SUB-GROUP

29 APRIL 2013

The Special Sub-Group will meet in the Committee Room, The Council House, South Street, Atherstone, Warwickshire on Monday 29 April 2013 at 5.00pm.

AGENDA

PART I - PUBLIC BUSINESS

- 1 **Evacuation Procedure.**
- 2 **Apologies for Absence / Members away on official Council business.**
- 3 **Disclosable Pecuniary and Non-Pecuniary Interests**
- 4 **Public Participation**

Up to twenty minutes will be set aside for members of the public to ask questions or to put their views to elected Members. Participants are restricted to five minutes each. If you wish to speak at the meeting please contact David Harris on 01827 719222 or email democraticservices@northwarks.gov.uk.

**PART A – ITEMS FOR DISCUSSION AND DECISION
(WHITE PAPERS)**

- 5 **Review of the Recruitment and Selection Policy and Procedure –**
Report of the Assistant Director (Finance and Human Resources)

Summary

This report updates the existing policy, following consultation with senior managers and the trade unions.

The Contact Officer for this report is Sue Garner (719374)

- 6 **Corporate Workforce Policy 2013-16 –** Report of the Assistant Director (Finance and Human Resources)

Summary

This report attaches the Corporate Workforce Plan for 2013-16.

The Contact Officer for this report is Sue Garner (719374)

**PART C – EXEMPT INFORMATION
(GOLD PAPERS)**

- 7 **Exclusion of the Public and Press**

Recommendation:

That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following item of business, on the grounds that it involves the likely disclosure of exempt information as defined by Schedule 12A to the Act.

- 8 **Re-Structure of the Service –** Report of the Head of Development Control

The Contact Officer for this report is Jeff Brown (719310)

JERRY HUTCHINSON
Chief Executive

For general enquiries please contact David Harris, Democratic Services Manager, on 01827 719222 or via e-mail – davidharris@northwarks.gov.uk. For enquiries about specific reports please contact the officer named in the report.

Agenda Item No 5

Special Sub-Group

29 April 2013

**Report of the Assistant Director
(Finance and Human Resources)**

**Review of the Recruitment and
Selection Policy and Procedure**

1 Summary

- 1.1 This report updates the existing policy, following consultation with senior managers and the trade unions.

Recommendation to the Special Sub-Group

To adopt the revised Recruitment and Selection Policy and Procedure

2 Introduction

- 2.1 Human Resources' policies are reviewed periodically to ensure that they remain up to date and incorporate any changes in legislation. The Recruitment and Selection Policy has been updated, although none of the changes are major.

3 Recruitment and Selection Policy and Procedure

- 3.1 The removal of the default retirement age in October 2011 has required us to change our recruitment practices and amend our paper work. Both our policy and our application form prior to this made reference to the retirement age of 65 years.
- 3.2 The Equality Act 2010 applies to questions asked about health or disability before offering employment. The Equality and Human Rights Commission (EHRC) can take action against an employer who is in breach unless they are:
- establishing if a person can take part in a recruitment assessment;
 - establishing if there is a duty to make reasonable adjustments to the recruitment process;
 - monitoring the diversity of applicants;
 - establishing whether the person "will be able to carry out a function intrinsic to the role";
 - taking positive action to support employment for disabled persons and/or;
 - establishing that a person has a disability where it is an occupational requirement.

Amendments have been made to our policy and application forms to meet this requirement.

- 3.3 The CRB and the Independent Safeguarding Authority have been brought together and CRB checks are now carried out by the new body, the Disclosure and Barring Service (DBS). The documents required for this check are no longer the same as those required by the Border Agency for proof of identity and proof of eligibility to work in the UK. Therefore the paperwork required for recruitment has been changed to meet the DBS' requirements.
- 3.4 There have been changes in the Council's approach to recruitment in response to the difficult financial position of the Authority, with some posts frozen where possible. In addition some practice has evolved over time, for example, the shortlisting matrix and the shortlisting summary have been joined together.
- 3.5 The changes to the policy reflect the changes in legislation and the changes in our processes and practice. A copy of the updated policy is attached at Appendix A.

4 Report Implications

4.1 Human Resources Implications

4.1.1 As detailed in the report.

4.2 Risk Management Implications

4.2.1 Updating the policy and procedures will reduce the risks of inappropriate or unlawful recruitment. The use of the policy and procedures will also reduce the risk of inconsistencies.

4.3 Equalities Implications

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4.3.1 As attached at Appendix B.

4.4 Links to Council's Priorities

4.4.1 Proper management of employee issues contributes to the Council's priority relating to the effective use of resources.

The Contact Officer for this report is Janis McCulloch (719236).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

Appendix B

Equality Impact Assessment Summary Sheet

Please complete the following table summarised from the equality impact assessment form. This should be completed and attached to relevant Board reports.

Name of Policy Procedure/Service	Recruitment and Selection Policy and Procedure
Officer Responsible for assessment	Janis McCulloch

Does this policy /procedure /service have any differential impact on the following equality groups /people

- (a) Is there a positive impact on any of the equality target groups or contribute to promoting equal opportunities and improve relations or:
- (b) could there be a negative impact on any of the equality target groups i.e. disadvantage them in any way

Equality Group	Positive impact	Negative impact	Reasons/Comments
Racial	No	No	
Gender	No	No	
Disabled people	No	No	
Gay, Lesbian and Bisexual people	No	No	
Older/Younger people	No	No	
Religion and Beliefs	No	No	
People having dependents caring responsibilities	No	No	
People having an offending past	No	No	
Transgender people	No	No	

If you have answered **No** to any of the above please give your reasons below

The policy will apply to all applicants in the recruitment process.

Please indicate if you believe that this document

Should proceed to further Impact assessment **No**

Needs no further action **No**

NORTH WARWICKSHIRE BOROUGH COUNCIL



RECRUITMENT AND SELECTION POLICY & PROCEDURE

Reviewed February 2013

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POLICY

It is the Council's policy that Assistant Directors (ADs)/Line Managers are responsible for recruitment in conjunction with the Human Resources (HR) section. This policy applies to all recruitment, permanent, temporary and agency staff. When the Council appoints in partnership with others and is the accountable body and therefore the employer, this policy shall be followed by all members of the recruiting panel, including those members from another organisation or the community. A line manager who wishes to recruit someone must first obtain approval. This applies whether it is to recruit to fill a vacancy created by a leaver, to upgrade a post, or create a new post. All jobs must be evaluated prior to advertising. It is the Council's policy that all vacancies will be placed on the Council's web site, routeways to work and at the local job centre.

The Council aims at all times to recruit the person who is most suited to the particular job. Recruitment will be solely on the basis of the applicant's abilities and individual merit, as measured against the criteria for the job. Qualifications, experience and skills will be assessed at the level that is relevant to the job.

Before embarking on the process of recruitment, the AD/Line Manager must ensure that there is an up-to-date job description for the post and a clearly drafted person specification. The job description will describe the duties, responsibilities and level of seniority associated with the post, whilst the person specification will describe the type of qualification(s), training, knowledge, experience, skills, aptitudes and competencies required for effective performance of the job.

The Council accesses agency workers via a supply management organisation. Agency workers are usually short term assignments to cover sickness in customer facing roles.

In addition and in conjunction with HR, the Council may use a recruitment agency for Chief Officer and hard to fill posts. This could be for all or part of the process, including 'head hunting' suitable candidates. The decision to do this will be taken by the Management Team.

Where the job is to be advertised, the AD/Line Manager will submit the proposed advertisement to the HR section for approval. All jobs that are advertised externally are posted on the Council's web site, West Midlands Jobs and placed with the job centre. Managers should also consider and discuss with the HR section where it is appropriate to post the vacancy, ie. newspapers, professional publications and/or with an approved employment agency.

The Council is committed to applying its equal opportunities policy at all stages of recruitment and selection. Short-listing, interviewing and selection will always be carried out without regard to any of the nine protected characteristics; pregnancy & maternity, marriage & civil partnership, sexual orientation, sex, religion or belief, race, gender reassignment, disability and age or trade union membership.

Furthermore, any candidate with a disability will not be excluded unless it is clear that the candidate does not meet the essential criteria outlined in the person specification. Reasonable adjustments to the recruitment process will be made to ensure that no applicant is disadvantaged because of his/her disability.

It is Council policy to shortlist candidates whose application form indicates they have a disability if they meet all the essential criteria contained in the person specification. All applicants who declare a disability who meet the minimum requirements of the job, as set out in the job description and employee specification (essential criteria), will be guaranteed an interview. Having short-listed candidates in this way, however, selection should then proceed in the normal way. All candidates should then be assessed equally on merit against the job criteria, and not on the basis of which candidate is least or most disabled.

Anyone conducting recruitment interviews will ensure that the questions they ask job applicants are not in any way discriminatory or unnecessarily intrusive. The interview will focus on the needs of the job and skills needed to perform it effectively. A record of every recruitment interview must be made and passed to the HR section, where it will be retained for six months. On no account should any job offer be made during or at the end of an interview.

Provided it is appropriate, psychometric testing will be used as part of the recruitment process, in consultation with the HR section. Any test used must have been validated in relation to the job, be free of bias, and be administered and validated by a suitably trained person. Normally it will be appropriate to use this for managers' posts. However, it could also be used to test for particular skills or behaviours.

It is the Council's policy that the successful applicant will be asked to complete a pre-employment medical questionnaire and, if requested by occupational health, to attend a medical examination with the occupational health doctor. Any offer of employment will be conditional on the result of this medical examination being satisfactory to the Council.

It is the Council's policy to seek the candidates' consent for it to seek two written references, one of which must be their current or most recent employer, and to ask for documentary proof of qualifications. Any offer of employment will be conditional on both of these being satisfactory to the Council.

The Council is committed to fulfilling its duty to protect children and vulnerable adults to whom it provides a service, by ensuring the highest integrity of those appointed or contracted to positions of trust. Some posts will require a Disclosure and Barring Service (DBS) check and any offer of employment will be subject to a satisfactory clearance being received from DBS.

Posts requiring a DBS check will have this indicated in the advertisement, on the job description and in the recruitment pack. Any candidate being offered employment will be required to complete a disclosure application form and the offer of employment will be subject to a satisfactory disclosure.

The process of requesting completion of a Declaration of Criminal Convictions and a Disclosure Application Form shall be applied equally to internal and external applicants applying/being appointed to posts that have been assessed as requiring a criminal record check.

All short listed applicants will be required to bring proof of identity to their interview. See Appendix I. For candidate and manager information.

Law relating to this document

Leading Statutory Authority

Equality Act 2010

Employment Equality (repeal of Retirement Age provisions) Regulations 2011 (S1 2011/561)

Data Protection Act 1998

Rehabilitation of Offenders Act 1974

Immigration, Asylum and Nationality Act 2006

Asylum and Immigration Act 1996

Immigration (Restrictions on Employment) Order 2004 SI 2004/755

Immigration (Restrictions on Employment) Order 2007 SI 2007/3290

Accession (Immigration and Worker Registration) Regulations 2004 SI 2004/1219

Employment Act 1989

Working Time regulations 1998 (S1 1998/1833)

Health and Safety (Young Persons) Regulations 1997 (S1 1997/135)

SECTION 1

THE VACANCY

1.1 The Vacancy

1.1.1 A vacancy can arise for a variety of reasons, but before it is filled the following questions should be answered:

- a Is the post still required? If so, is it required in its present format?
- b Can changes be made to the post so that it attracts a wider range of candidates?
- c Are there any existing staff where re-deployment is required (check with the HR section)?
- d Is there approval for the filling of the vacancy?

1.2 Approval to Fill a Vacancy

1.2.1 Using the Vacancy Nomination Form (see Appendix A), approval to fill a vacancy is given by the Management Team. (The exception to this is in Leisure. Due to high turnover the Assistant Director approves the filling of the vacancy provided it is replacing like for like and within budget). The form is then passed to HR, together with the Job Description, the Person Specification, the Advert and any additional information required for the job pack. The standard job pack will have included:

- Covering letter
- General information about NWBC
- Job description
- Person specification
- Terms & Conditions
- Application form
- Corporate organisational chart
- Divisional organisation chart

Additional information will be dependent on the post and for example could be an inspection report or a strategy.

1.3 The Job Description

1.3.1 All posts should have a job description that has been through the job evaluation process (in some cases may be generic), which is up-to-date, clear and reflects the role, responsibilities and content of a post. Care should be taken when revising a job description, as salary grades may be affected. If in any doubt please consult the HR section.

1.4 The Person Specification

1.4.1 This should, in realistic terms, provide a profile of the ideal person for the post. It should list the qualification, experience and personal attributes needed to fill the post, based on the job description. This specification will set the criteria upon which selection will be based and made.

1.5 The Job Description and the Person Specification

1.5.1 The review and production of the Job Description (see Appendix B) and the Person Specification (see Appendix C) is the responsibility of the Assistant Director/Line Manager. This process should also include relevant colleagues and, where appropriate, the members of the selection panel. Both should be done in the format as in Appendices B and C.

1.5.2 The job description has three distinct areas:

Special Conditions: examples of these could be – this post is politically restricted, must be prepared to be on a standby rota, required to apply for disclosure of information through the Disclosure and Barring Service (DBS), required to be on call etc.

Scope and Responsibilities: This will include the overall purpose of the job.

Key Tasks: All of the main areas of work and responsibilities.

Always include: additional tasks/other duties commensurate with the grade of the job and relevant to the post.

1.5.3 A good person specification will significantly help to eliminate poor, unfair or unlawful recruitment practices. It will also be a positive way of advancing the Council's Equality Policy.

1.5.4 The person specification has a number of purposes:

It helps to focus and structure thinking on the type of person required to fulfil the job. It sets targets that will help with subsequent stages in the process. It gives information to include in the advert; a framework for short-listing; helps to identify interview questions; and gives criteria for assessing candidates. It provides a reference point for all those involved in the procedure, giving common agreement about the person sought. It helps applicants decide their suitability. It provides useful information to referees.

1.5.5 Not all selection criteria are of equal importance and selectors may agree at short-listing stage to weight this as an additional filter. Care must be taken to ensure that the person specification does not directly or indirectly discriminate against any group, for example women, men or people of a particular religion or from ethnic minority groups. For example, you are advised to put requirements for qualifications in general terms to avoid potentially discriminating on the grounds of age.

1.5.6 Remember that if there is a complaint to Employment Tribunal alleging discrimination, the Person Specification will be an important part of documentary evidence, as the Tribunal will have to satisfy itself that the selection decisions were made on the basis of lawful, fair and relevant criteria.

1.5.7 The Council's person specification divides criteria into two distinct sections: Essential and Desirable and how they are to be identified:

Essential - These are attributes which set the minimum standards, which are expected of an applicant who can fully satisfy the job requirements. Essential requirements should always reflect the job description and a simple rule of thumb is to be able to answer the question: *Why does this post require this criterion/factor?* In other words, it must be job relevant and justifiable. Applicants who do not match these requirements cannot be short-listed, or appointed.

Desirable - These are attributes which enable the applicant to perform the job more effectively. In listing desirable qualities, guidance should be provided for the selector, such as by indicating the amount of latitude which can be exercised in various directions, by defining alternative types of experience which could be considered in addition to, or as an extension of, the minimum (essential) requirements.

- 1.5.8 At short-listing, desirable elements can be used as additional screening mechanisms. This does not mean they now become essential criteria for the post; they merely serve as an aid to the recruitment process. Desirable factors that are used in this way, however, should usually be mentioned in the job advertisement and, therefore, be identified as important to job success and performance.
- 1.5.9 All the attributes specified should be capable of being measured and assessed and there is a column on the specification to identify this. Selectors have to consider how this can be achieved. For example, can it be done during the selection, from the application form, or by other means, such as by verification of qualifications? Although the candidate may give examples of some factors on their application form, these may require further assessment at interview, for example, motivation.
- 1.5.10 The person specification must have equality of opportunity and managers must ensure that the criteria do not lead to direct or indirect discrimination. Criteria which inhibit applications from specific groups must only be included if they are legal and justifiable in terms of the job to be undertaken.
- 1.5.11 *Note:*
Please remember that when you are completing this pro-forma you are setting the standard for the person needed for this job on this occasion. You are also suggesting the question that will be asked at short-listing and interview stages. You must therefore describe the characteristics in ways that are both accurate and, as far as possible, capable of being measured. The requirements must be job-related and described using appropriate words and marked E (essential) and D (desirable) as appropriate.
- 1.5.12 It is important that the person specification is as relevant and as realistic as possible. Overstating requirements, or listing too many, can lead to the situation where it is impossible to find the perfect candidate and the recruiting process has to begin again, wasting time, effort and money. Remember that selectors must be clear how they will identify whether candidates have the specified attributes outlined in the specification.
- 1.5.13 Set out clearly and precisely the characteristics, qualities and competencies that are required to do the job. Any requirements should not be discriminatory.

SECTION 2

ADVERTISING THE POST

2.1 Advertising the Post

2.1.1 The aim of recruitment advertising is to attract suitable candidates from as wide a pool as possible. The advertisement should be worded so as to encourage applications from only those people who possess the necessary qualifications, experience and skills to meet the criteria for the job. Advertisements should be eye catching, informative (without being overly wordy), easy to understand and clear about how and by when applications should be made. They should promote the Council as an interesting and attractive place to work, and project a public image of efficiency and effectiveness. Wherever possible they should contain the dates for short-listing and interview.

2.1.2 Advertisements should be non-discriminatory and should follow good practice by not being placed in a way that has the effect of limiting the range of potential applicants and should be constructed in a way that encourages equality of opportunity. All vacancies advertised externally should be advertised internally.

2.1.3 Management Team authorises all vacancies, internal and external except for vacancies in leisure, which are authorised by the Assistant Director. This includes when it is decided to ring fence to a particular department or section.

2.1.4 Remember, an effective advertisement draws a response from suitable candidates for the job and affords respondents the opportunity to decide if they have the necessary skills, experience, potential etc.

2.1.4 Assistant Directors/Line Managers need to bear these aims in mind when preparing advertisements for agreement with the HR section. Each time an advertisement is drafted, consider the impact of your advertisement on the would-be applicant. Ideally, it should be drafted in a way that helps the reader decide whether they can or cannot do the job.

2.1.5 *Copywriting - Key Points:*

There are five key pieces of information to include: the organisation, the job, the selection criteria, the salary (and benefits) and the application/response details.

Advertising copy should be written to: draw attention, develop interest, stimulate a desire and finally, explain the action required to pursue the interest.

2.1.6 *Media Choice*

There is a centralised process for advertising using the Council's advertising agency. All advertising requirements should be agreed with the HR section who will also advise on media and will place the advertisement. The preferred choice of media would be web sites.

SECTION 3

THE SHORTLISTING PROCESS

3.1 Short-listing

- 3.1.1 When there are many returned application forms, use a long list system – short-listing those who appear appointable on paper and pre-screen candidates in person in order to invite a final (smaller) shortlist of preferred candidates.
- 3.1.2 Beware of short-listing *known* candidates - especially those within the section/workplace - for the sake of interview experience or to meet their heightened expectations. Only ever short-list candidates who fully meet essential person specification requirements and from the application form at least appear to be appointable.
- 3.1.3 Never take account of pressure to shortlist a particular candidate. This can be a discriminatory action. It is good practice to read all material presented by candidates, to privately work through your assessment and to then share your views with other selectors in a group session. However, be prepared to be flexible. A full participating selector has equal status to others and must always contribute the reasons for their recommendations about each candidate to co-selectors.
- 3.1.4 Anyone participating in the process is required to declare any interests in appointments.

3.2 The Process

Application Forms

- 3.2.1 For all posts, our own specially designed application forms must be used (see Appendix D). In doing so you ensure that all candidates are asked to provide information and data about themselves in one standard format. They also make it easier to address equal opportunity and administrative uniformity.
- 3.2.2 Read all application forms at least once, assessing not just for content but also for relevance to the Person Specification.
- 3.2.3 Check off the essential criteria first (eg qualifications, work experience, special knowledge / skills).
- 3.2.4 Remember the importance of adopting the same criteria for both internal and external applicants. Application forms must be processed in exactly the same way and not separated into groupings.
- 3.2.5 Selection criteria must be applied consistently to all candidates. At the short-listing stage you should not make assumptions about the quality of a candidate's knowledge, experience etc, without factual information as evidence. Test out only those criteria assessable from a screening of the forms at this stage.

Assessment

- 3.2.6 All members of the selection panel should be involved and contribute in equal measure to the process.
- a Short-listing must be carried out by at least two officers (this can include a member of the HR section) who should also participate in the interview. This is particularly important where Member Panels are involved. Member panels are involved in the recruitment of all Chief Officers
 - b Short-listing must be based on assessing the information contained within the application form against the knowledge and skills listed in the person specification. This process must be applied to all applicants, including those in a pre-screening process.

Note: The job requirements must not be modified during or after the short-listing process. Short-listing must not proceed on criteria not contained in the person specification.
 - c A shortlist should comprise of those candidates who on the application form demonstrate that they best meet the job requirements.
 - d All applicants declaring a disability who meet the minimum requirements (essential criteria) must be short-listed and interviewed.
 - e An unmanageable shortlist is considered to be one where more than eight candidates are short-listed for any one post. This can be managed to a smaller size by holding long list interviews.
 - f For guidance on unmanageable or inadequate short-lists, please consult the HR section.
- 3.2.7 Everyone involved should independently assess the application forms before meeting as a short-listing panel. When drawing up a shortlist, selectors must assess applicants solely against criteria listed in the person specification. Other factors, such as new standards, qualifications, experiences or personal acquaintance must not be introduced. It is the chairperson's responsibility to ensure that one composite short-listing form is produced to record the final decision made by the group. Any disagreement to the final choice should be recorded in a note attached to this form.
- 3.2.8 The use of a form for short-listing will help recruiters to be systematic when short-listing for vacant posts. It is a relatively simple and objective technique and a copy of the shortlisting matrix and summary is attached at Appendix E.
- 3.2.9 It is possible to identify some of the essential and desirable criteria, which can be assessed from the factual information contained within the applicant's form and submission.
- 3.2.10 It is not usually possible to assess criteria listed under *Motivation / attitude* from the application form alone. This will require further assessment at interview.
- 3.2.11 The form will act as a guide to differentiating candidates and determining their merits. One final form should be created when the selection group meets as a short-listing

panel. Individual selectors notes should not form part of the file for the appointment. The form can also aid feedback to unsuccessful candidates.

- 3.2.12 Draw up your shortlist systematically. Measure each candidate's abilities and qualities methodically, working through each application form in turn. Avoid making snap or gut-reaction decisions based on a casual or superficial examination. Search for key selection criteria. Examine each applicant's present role for the range of responsibilities, achievements and challenges it offers. Look closely at each applicant's previous career and the personal skills they possess. Relevant skills needed for the post may not necessarily have been acquired in paid employment.
- 3.2.13 Evaluate each candidate's level of expertise in the occupational area and the relevance of any qualifications they hold or training they have undertaken previously. Search through the application form for evidence of their ability to generate ideas or show creativity relevant to the type of post on offer. Does the application form place emphasis on a particular skill or occupational specialism, or is the applicant more of an all rounder? In either case, ask yourself which approach is more appropriate to the demands of the post.
- 3.2.14 The candidate's experience, qualities, qualifications etc. must be carefully assessed against the person specification and copies of the selectors assessment placed on file using the final form completed by the panel.
- 3.2.15 Candidates who wholly meet all of the essential criteria must be short-listed. Candidates short-listed must always meet the essential requirements. However, desirable criteria may be used as an additional filter to reach the final shortlist (see Appendices C & D), if this is needed to ensure a practical shortlist.
- 3.2.16 Where there are still more than is practicable to interview in this category, in conjunction with HR use a pre-screening process to reach a shortlist. Note: any candidates with a disability and meet the essential criteria are exempt from any sifting and must be interviewed.
- 3.2.17 Selectors **must not exclude** candidates from the shortlist on the grounds of any of the protected characteristics eg:

AGE – except in the rare cases where the job may call for a specific age group eg for night duties the minimum age is eighteen years. The minimum age for employment is sixteen years. The age of candidates should not be an issue. Younger candidates with the required skills should not be disregarded. Older candidates should be valued for their experience and potential contribution. Neither group should be rejected arbitrarily.

GENDER – unless it is a genuine occupational qualification attached to the post, as defined in the SEX Discrimination Act. Unproven assumptions and / or stereotypes about the physical or mental qualities of men and women (eg this is not a job for a woman) should be avoided.

MARITAL STATUS – is rarely, if ever, a job-relevant requirement. Candidates should never be assessed on their intentions or previous marital history.

ETHNIC OR NATIONAL ORIGIN – Unless it is a genuine occupational qualification attached to the post, as defined in the Race Relations Act (unless the post has ethnic background as a Genuine Occupational Qualification in accordance with the RRA).

RELIGION or BELIEF – except in limited cases, where a certain religion is a preferred requirement (eg denominational schools), this information must be discounted as a selection factor

DISABILITY – Unproven assumptions about how an applicant's disability or health record will affect their work. Disability can only disqualify in the rare case where it will create unreasonable demands for physical access in the workplace which cannot be met by aids / adaptations.

SEXUAL ORIENTATION or GENDER REASSIGNMENT – If this information is known and / or made available by an applicant, it should not be used to screen out that candidate.

In addition must not be excluded for:

UNION MEMBERSHIP OR NON-UNION MEMBERSHIP – The Council recognises trade unions and values the work of their officials.

PERSONAL INFORMATION – volunteered by an applicant about family / domestic circumstances but not relevant to the job must be ignored for the purpose of short-listing, which should focus on job suitability. Any health / absence data given by candidates must be ignored.

CRIMINAL CONVICTION - Knowledge about a candidate's previous convictions or involvement is not a reason to reject the person without other substantial reasons (see next section).

REHABILITATION OF OFFENDERS ACT 1974 – Individuals do not have to reveal the convictions if they have become spent after a set rehabilitation period (other than for exempt posts), provided the individual has not been convicted of another serious offence during this time.

PRESENT CONTRACT / STATUS – Current unemployment, recent redundancy, fixed term contract or existing temporary status should not be used as reasons to reject candidates.

WORK FLEXIBILITY – The wish to work as a job sharer or on a more flexible basis should not be used as a reason for rejection. Consideration should be given to the request.

HOME LOCATION – Unless it is a criterion specifically indicated in the Person Specification, home location, domestic tenure, or travel to work distance, should never be used as reasons for disbaring candidates from selection. Unless it is a requirement for the job, unproven assumptions about how an applicant's home and / or family life will affect their work (eg this person lives too far away or this person will get married and leave or how will this person look after the children) should be ignored.

HANDWRITING – Some candidates use typescript whilst others prefer hand written format. Both are acceptable unless the job requires handwriting of a particular quality and this has been specifically included as a selection criteria.

Whilst poor handwriting may be a negative indicator, it does not necessarily mean a poor candidate. A poorly presented application form could be a valid reason for rejection in certain cases. Jobs involving technology, or those with a low written content, may not require high-calibre handwriting.

POLITICAL RESTRICTIONS – Provided the candidate has had the rules about the specific post and political activity (eg canvassing, office-holder, candidate or elected member) drawn to his / her attention, an indication of political activity should not be a factor which is taken into account at all if it is mentioned on the application form. If the post is politically restricted, this will be stated in the *special conditions* section of the job description. All posts that are politically restricted will receive the document on politically restricted posts with their application pack. (see Appendix G)

3.2.19 Acceptable Reasons for Rejection (not job-vacancy related) at Shortlist:

The following are acceptable reasons for rejecting candidates, even though they may not appear in the person specification.

PREVIOUS DISMISSAL – It is a policy of the Council not to re-employ employees previously dismissed for misconduct or poor performance. So check work-experience history with HR.

LATE APPLICATION – Provided the selection panel agrees not to proceed further. This is usually when the process has already commenced.

CRIMINAL CONVICTIONS – Where these are declared and would exclude candidates from being appointed to the post.

Common Problems

- 3.2.20 If there are no suitable candidates, it will be necessary to re-advertise the post. Selectors should review the quality of the whole process, especially the person specification and potential sources of applicants.
- 3.2.21 If there is only one applicant who measures up to the necessary criteria, it is acceptable to shortlist that candidate and make an appointment if suitable after interview.
- 3.2.22 Applicants who continually apply for posts, or who have complained about previous selection decisions or alleged discrimination, should be treated on merit against job criteria. Under no circumstances should they be treated less (or more) favourably.
- 3.2.23 Where the response to an advertisement has produced a high volume of candidates with variable quality and backgrounds, selectors should review the advertisement, media and the person specification.
- 3.2.24 Where the response is high in both quantity and quality, pre-screening is particularly useful. A long list of candidates are assessed by the selection panel (or delegates thereof) prior to the selection process proper. This can be done using techniques such as: structured interviews; written work; presentations; technical interview assessment; and aptitude or practical tests.
- 3.2.25 There is a danger in raising expectations and interest from a general advertisement containing too few job-related screening requirements. Specifications must be job-

related, and you must establish the same criteria for a temporary post as for a permanent post, and apply the same standards equally to both during the selection/appointment process.

Administration procedures following short-listing

- 3.2.26 All written material used in creating shortlists must be retained for at least six months after the date of offer of appointment on a file maintained in the HR section.
- 3.2.27 Reasons for rejecting a candidate must be recorded and relate directly to the person specification (either specific characteristics or general headings, eg lacks qualification required).
- 3.2.28 Information obtained during the short-listing process and within the context of the shortlist itself must be treated as confidential. Comments as to why candidates were or were not included must not be disclosed outside the selection group.
- 3.2.29 You should tell candidates who request this information why they were not short-listed but not comment on why others were included.

Reserve candidates can be nominated, in case others decline the offer.

3.3 Administrative Matters

Contacting Candidates

- 3.3.1 Although this is usually done centrally, the following should be taken into account when being undertaken by a Division.
- 3.3.2 It is good practice to contact short-listed candidates by telephone where possible, to give them as much notice as possible and confirm they can attend the selection process.
- 3.3.3. Always confirm such calls in writing afterwards, listing details of the date, time, venue, contact name, names of the selectors involved and an indication of the type of selection process candidates will be asked to undertake.
- 3.3.4 Ensure candidates are informed in advance on whether they will be expected to complete a medical questionnaire, produce qualification certificates, evidence of criminal convictions or other forms of declaration.

References

- 3.3.5 Referees may be contacted prior to interview subject to the candidates approval and the removal of the health related question(s). The HR section will do this for you using the Council's reference form. (See Appendix H). This can save time and the reference is then available to either confirm or conflict with the decision(s) that the panel have reached on the day. Referees may be contacted at this point if anything on the reference needs clarifying.

SECTION 4

THE INTERVIEW AND APPOINTMENT

All candidates invited to interview will be asked to bring with them a form of identification

4.1 The Interview and Appointment

4.1.1 Interviews will normally be carried out by a panel of at least two persons (it must include those who chose the shortlist) therefore there will be a need for a Chairperson.

4.1.2 At the outset of the interview the Chairperson should outline the structure of the process.

During the Selection Process

4.1.3 Encourage candidates to feel at ease. Explain the interview and selection procedure and interview plan to candidates and make sure that the candidates understand this.

4.1.4. Use open questions. Remember: how, why, what, when and where. Follow up leads with supplementary questions.

4.1.5 Ensure that questions are applied consistently to all candidates, but allow flexibility within the interview. Supplementary questions should not be leading, prompting, or helpful to certain candidates. They should be probing and searching.

4.1.6 Avoid making assumptions. Be thorough. Ask, check and clarify.

4.1.7 Ensure questions are relevant to the job description and person specification. Check responses, which may indicate weaknesses (or strengths).

4.1.8 The process must give all candidates an equal chance to show they have the relevant experience etc.

4.1.9 Selectors may ask candidates whether in general terms they can fulfil the special conditions of a job (such as working unsociable hours or being available at short notice). They must not, however, ask specific questions about home, personal and family commitments.

4.1.10 Should you need to discuss terms and conditions with candidates, it is advisable to keep these matters to the end of the interview process.

4.1.11 Keep a written record (see Appendix F, interview record form) of how the information collected relates to the requirements specified in the person specification.

Discrimination and the Selection Process

4.1.12 The purpose of interviewing candidates is to obtain information from them, and to judge each candidate's suitability for the job, including their personality, commitment and motivation. Here, probably more than at any other stage in the recruitment process, the recruiter is vulnerable to their judgement being affected by their own personal prejudices about people.

- 4.1.13 Be objective – seek to identify each candidate’s abilities and potential contribution. Set exactly the same standards for all candidates and assess against these agreed criteria / rating. Never make generalised assumptions about an individual based on your perception of their race, national origin, religion, gender, disability or age or perceived age.
- 4.1.14 An interview which is conducted in a slipshod manner, or which fails to elicit vital information from the candidate about their qualifications and experience, or to give the candidate sufficient time to respond or contribute to the discussion, may be the subject of a complaint of unlawful discrimination.
- 4.1.15 Questions to be asked at the interview, therefore, should be well thought out and agreed beforehand. Put the same question areas to all the candidates and avoid treating one candidate more or less favourably than another. It is permissible to ask different questions from those agreed previously, when following up specific points made by a candidate or to explore a candidate’s experiences or personal history. Be careful, though. Some questions asked at interview can easily be construed as being discriminatory and, hence, unlawful.
- 4.1.16 If relevant, a candidate who has indicated on their application form that they have a disability would expect their disability to be discussed during the course of the interview. This provides selectors with an opportunity to identify the particular needs of that individual (eg equipment / adaptations) and offers the candidate the chance to demonstrate that they are fully capable of performing effectively in the job. Ensure this is undertaken in a positive, sensitive but open framework of questioning with the focus always on job requirements.

- 4.1.17 It is potentially unlawful to ask questions about:-

Marital or domestic circumstances

Many assumptions are made about women, and married women in particular. These include the assumption that they will not be mobile; will not stay for long if their husband’s job requires mobility; will take time off to look after sick children; or will leave to have a family. Such questions should not be asked.

Compatibility

- 4.1.18 In the case of *Virdee v ECC Quarries Limited*, an ethnic minority applicant was asked whether he had worked with and would be able to supervise white colleagues. The Industrial Tribunal held that this sort of questioning was discriminatory.

Ethnic or racial matters

- 4.1.19 Asking about nationality, or ethnic or religious matters – for example, whether the applicant will need to take time off for the observance of religious holidays, or whether extended leave abroad for family reasons will be necessary – may also be discriminatory.

Mobility

- 4.1.20 Questions asked about mobility must relate to the actual requirements of the job. If you need to assess whether individual circumstances will affect the performance of the job in the light of the mobility requirements, this should be done in an objective

way. Questions should not be based on assumptions about marital status, children and domestic obligations.

4.1.21 Interviews are not necessarily free from allegations of discrimination and should be carefully planned beforehand. It is most important that those involved in interviewing are trained in the principles of discrimination law and equal opportunities. Many complaints of discrimination have arisen because of questions asked, or an attitude taken at interview.

4.1.22 All interviewees will be required to bring with them their proof of identity to interview. Managers must check these, photocopy the originals, complete the form and return to HR with all the interview documents. See Appendix I

4.2 **Decision Making**

Final Assessment

4.2.1 In the final selection of the successful appointee, similar considerations to those given for short-listing should apply. It should be possible to identify and list the attributes of each candidate and compare these with the person specification. Relevant and objective selection criteria should be used, and it should be clear from the data how the final decision was reached. Records will also be useful if the decision is later challenged on the grounds of discrimination.

4.2.2 Selectors must ensure they have sound and accountable reasons why candidates were not selected at any stage and based on all the evidence they have collected. The selection panel should ideally agree unanimously on its final selection and formally record this.

4.2.3 The selection panel should consider the extent to which each candidate matches the requirements of the person specification, including proof of qualifications, using the evidence it has gathered. Prompt and accurate written records of facts relating to the person specification are essential; use of the interview record form simplifies this process. (see Appendix F)

4.2.4 The Chairperson should ensure all panel members give an opinion. Compare individual judgements with other panel members and reach a consensus decision.

4.2.5 Reasons for rejection should be based on the person specification and may use its headings (eg experience, qualifications) or be more explanatory and specific (eg candidate failed to display relevant technical ability, not prepared to undertake qualification).

4.2.6 Decisions must be based on job description and person specification, and an objective assessment of candidates using the measurable criteria required to perform the job to acceptable standards. There must be no lowering of standards.

4.2.7 Where a unanimous decision cannot be reached, the panel should consider the following options:

Test each candidate against each requirement in the person specification. Is there a clear choice?

Re-interview those candidates who are still in contention against specific areas of concern.

Table all known information (see Appendix F) and take a recorded democratic vote (majority decision) from those who have participated as core selectors.

The final decision and the reason for it being made should be recorded.

Informing Candidates

- 4.2.8 Unsuccessful candidates should be informed as quickly as possible. Most selectors prefer to make a decision on the day and make an offer verbally to the chosen candidate, but do be prepared for the candidate who refuses the offer or requires further time for consideration.

Reserve Choices

- 4.2.9 If more than one candidate is appointable, it may be wise to designate a reserve or second choice, should the chosen candidate withdraw or refuse the offer.

Job Offers

- 4.2.10 The successful candidate should be offered the job, subject to the following as appropriate:

Satisfactory references have been received (remember a reference is only one aid to selection).

Satisfactory DBS check – where appropriate.

Medical screening

Information obtained within the whole selection process must be treated as confidential. Comments about specific candidates' performance must not be revealed outside the process (except, of course, as personal feedback to individual candidates).

Negotiating Terms

- 4.2.11 As with any negotiations, there are options and choices dependent on various factors. Selectors can decide to offer only the terms originally advertised or they may appoint at different rates, eg if the post is a career grade linked to qualifications / experience.
- 4.2.12 Where there are two or more appointments and different terms are offered (eg starting salary point), managers must ensure there are sound reasons to do so, which do not leave them open to claims of discrimination.
- 4.2.13 Issues of terms and conditions should normally be raised as part of the interviewing process, eg Are you aware of the rate of pay and starting salary? Do you need further information about terms and conditions were you to be offered the post?

4.3 References

- 4.3.1 An applicant may have valid reasons for requesting that references not be sought unless he or she has been selected for the post. In these cases the applicant's

wishes should be respected even though this may cause a delay in the confirmation of a job offer.

4.3.2 The Council's reference form should be used when requesting a reference. (see Appendix H)

4.3.3 Where a candidate gives as a referee the name of someone who is to be a member of the interview panel, it is desirable to offer the candidate the opportunity to nominate an alternative referee.

Note:

4.3.4 Under the Data Protection Act 1998, an individual has the right to request access to any personal information held about him or her in a manual or computer-based file. Thus a job applicant (whether successful or unsuccessful) may submit a request to an employer to which he or she has applied in respect of access to any file containing data about him or her, for example interview notes. Individuals who present a valid written request must be given copies of the relevant data in permanent form within 40 calendar days.

4.4 **Induction**

4.4.1 All employees starting a new job will have an induction appropriate to their needs. The details of this are in the Council's induction procedure.

SECTION 5

5 Monitoring and Review of Policy

- 5.1 The provisions of this policy will be subject to regular review and as required by changes in legislation and guidance. The Human Resource Section will monitor the Policy.
- 5.2 Appropriate training or briefing will be made available to all managers/interviewers.

Vacancy Nomination

For existing vacancies only – new vacancies should be authorised via Special Sub Group.

To be completed by Assistant Director (or nominated officer):

Post Title: _____

Post Hours: _____

Date Vacant: _____

Former Post Holder: _____

Date scheduled for reporting to Management Team: _____

Reasons for filling vacancy _____

Impact on service on not filling vacancy _____

Short-term interim arrangements (temporary cover) _____

All Vacancies

Management Team Rejected Accepted Date: _____

Authorised by:

Signature: _____

Name: _____

Job Title: _____

Once the above form is completed please forward this form to HR with the Advert, Job Description and the Person Specification

If accepted, date passed to HR _____

NORTH WARWICKSHIRE BOROUGH COUNCIL

Job Description

Post Title:

Post No:

Grade:

Directorate:

Division:

Section:

Responsible to:

Responsible for:

Special Conditions

Scope and Responsibilities.

Key Tasks

Agreed by the Postholder:

Date:.....

Agreed by (*Assistant Director of*):.....

Date:.....

PERSON SPECIFICATION

Date:

Post Title:

Post No:

Division:

Section:

Salary:

Grade:

CATEGORY	E/ D	CRITERIA INDICATED E (ESSENTIAL) OR D (DESIRABLE)	MEASUREMENT (See below)
<p>SKILLS, KNOWLEDGE AND EXPERIENCE</p> <p>Previous experience – consider type, absolute minimum period, depth</p> <p>Outside interests and voluntary work</p> <p>Level and type of eg oral, written, or number of skills or other job-related skills, such as driving</p> <p>What creative or original thought is necessary for the job?</p>			

MEASUREMENT:

1 Test prior to shortlisting (ie all applicants). 2 From application form. 3 Test after shortlisting. 4 Probing at interview. 5 Documentary Evidence. 6 OTHER (Please specify)

CATEGORY	E/ D	CRITERIA INDICATED E (ESSENTIAL) OR D (DESIRABLE)	MEASUREMENT (See below)
<p>EQUAL OPPORTUNITY Basic requirement</p> <p>Particular E O Requirements for this post (eg specialist knowledge)</p>		<p>Must be able to recognise discrimination in its many forms and willing to put the Council's Equal Opportunities Policies into practice.</p>	
<p>QUALIFICATIONS</p> <p>Academic Professional Job-Related Training</p>			
<p>ATTITUDE & MOTIVATION</p> <p>In working with other people and serving member of the public, what characteristics are required? What stress or pressure will this job entail?</p>			
<p>OTHER</p> <p>Unusual hours Travel to and from work / Uniform requirements Housing (if residential post)</p>			

MEASUREMENT:

1 Test prior to shortlisting (ie all applicants). 2 Form application form. 3 Test after shortlisting. 4 Probing at interview. 5 Documentary Evidence. 6 OTHER (Please specify)

CONFIDENTIAL

For Office Use Only:
Application Number

NORTH WARWICKSHIRE BOROUGH COUNCIL

Please complete the application form and the recruitment monitoring form. Please use **black** ink, ball point or typescript, as it will be necessary to photocopy your application.



Post applied for:

Closing Date:

1. Guaranteed interview for people with disabilities

Do you have a disability that you wish to tell us about? Yes No

If yes, do you require any support or adjustments to enable you to take part in the selection process for this job? Yes No

If Yes, give details _____

People with disabilities who meet the essential criteria will be guaranteed an interview

2. Personal Details

Posts which involve driving:

Do you have a current / full driving licence? YES/NO

Do you have any endorsements? YES/ NO

If YES please give details

If applicable please give dates on which you will NOT be available for interview. eg Holidays

If selected when could you start? Give period of notice if applicable

Are you related to any Member or Senior Officer? YES/NO

If YES please give details

3. Education and Qualifications

Please put the most recent first.

Name of School/College	Dates		Subject	Qualifications Gained	Grade	Date
	From	To				

4. Qualifications being studied for

Name of College/University	Subject	Level	Expected Date of Qualification

5. Professional Membership

Name of Professional Body	Level of Membership	Membership Number	Date

6. Employment History

Name and address of present (or most recent) employer and nature of business	Position Held and grade, if applicable	from Month/Year	To Month/Year	Salary, including all allowances
Names of previous employers and nature of business (starting with most recent)	Position Held	From Month/Year	To Month/Year	Reason for Leaving

Employment History Continued:	Position Held	From Month/Year	To Month/Year	Reason for Leaving
Names of previous employers and nature of business				

7. Training

Relevant Training Courses attended – please put the most recent first.

Organising Body	Course Details	Date (month/year) Duration of Course

8. Additional Information

A person specification will normally be supplied and you should detail how you meet the requirements set out, giving specific examples where possible. You should also state how this post fits in with your longer term career planning. If required use additional sheets and mark each sheet with your initials.

A large, empty rectangular box with a thin black border, occupying most of the page below the text. It is intended for the candidate to write their response to the requirements outlined in the text above.

9. References

Note: Referees should not be friends or relatives

REFERENCES: Please give the names and addresses of two referees. These should include your present employer (or last employer if currently unemployed). These should be your direct line manager/supervisor. Students should give the names of Head Teacher, Tutor, Professor, as appropriate.

If you do not wish your present employer to be contacted at this stage please write NO in box

Name:

Name:

Address:

Address:

Telephone No:

Telephone No:

Relationship:

Relationship:

NB: Canvassing Members of the Council or any Officers, directly or indirectly, or providing false information with regard to this application, shall disqualify the candidate from such appointment, or if discovered after appointment, will lead to dismissal.

DECLARATION

I hereby declare that the information given in my application is correct to the best of my knowledge.

Signature: _____

Date: _____

NORTH WARWICKSHIRE BOROUGH COUNCIL



Recruitment Monitoring Form

This section forms an integral part of the application form and must be completed accurately and in full.

This form is confidential and will not be seen by the selection panel. The information provided on this will be used by the Council only to monitor the effectiveness of its equal opportunities and recruitment policies, and will be used only as part of aggregated statistics.

Please answer the following as appropriate (use black pen if completing by hand)

For Office Use Only:
Application Number

--

Post Applied for _____

Personal Details

Full Name:	
Home Address in full: (Block Capitals)	
Home Telephone Number:	
Work Telephone Number:	
Mobile Telephone Number:	
Email Address:	
Do you have any unspent convictions?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If Yes, please give details	
Nationality	
Do you require a work permit to work in the UK?	Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure <input type="checkbox"/>
If Yes, do you currently have a work permit?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If Yes, what is your permit number?	

Vacancy

How did you become aware of this vacancy? Mark **one** box only please.

- | | | | |
|---------------|--------------------------|---------------------------|--------------------------|
| Newspaper | <input type="checkbox"/> | Job Centre | <input type="checkbox"/> |
| Journal | <input type="checkbox"/> | Online | <input type="checkbox"/> |
| Word of mouth | <input type="checkbox"/> | West Midlands Jobs online | <input type="checkbox"/> |

Other

If other please specify _____

Sex MALE / FEMALE / PREFER NOT TO SAY

Disability

Do you consider yourself to have a disability?

(The Equality Act 2010 defines a person with a disability as someone *who has a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities*. If you have any questions, please do not hesitate to contact the HR department)

YES / NO / PREFER NOT TO SAY

If yes, please describe the nature of the disability

Race

To which racial group would you say you belong? Mark **one** box only please.

White

British
Irish
Other

Mixed

White and Black Caribbean
White and Black African
White and Asian
Other mixed background

Asian or Asian British

Indian
Pakistani
Bangladeshi
Other Asian

Black or Black British

Caribbean
African
Other Black

Other

Gypsy or Traveller Prefer not to say

If any other please specify _____

Age

Please indicate the band in which your age falls. Mark **one** box only please.

Under 25
25 – 34
35 – 49
50 – 65

- Over 65
Prefer not to say

In the following sections, please tick the option which you think best describes yourself.

Religion/Belief

To which religious/belief group would you say you belong? Mark **one** box only please.

- Christian
Muslim
Hindu
Buddhist
Jewish
Sikh
None
Other If other please specify _____

Prefer not to say

Sexual Orientation

What is your sexual orientation? Mark **one** box only please

- Heterosexual/Straight
Gay/Lesbian
Bisexual
Other If other please specify _____

Prefer not to say

Marriage & Civil Partnership

What is your marital status? Mark **one** box only please.

- Single
Married
Civil Partnership

Prefer not to say

SHORT LISTING MATRIX AND SUMMARY

Assessment (1 = poor, 5 = excellent)

	Weighting	Candidate Number											
		1	2	3	4	5	6	7	8	9	10		
Essential Criteria													
For example - An ability to communicate confidently with all types of people both on the telephone and in person													
Essential Criteria Total													

Desirable Criteria													
Desirable Criteria Total													

TOTAL SCORE													
--------------------	--	--	--	--	--	--	--	--	--	--	--	--	--

INTERVIEW RECORD

Department:

Section/Location:

Job Title:

Date of Interview:

Candidate:

5 - Almost identical characteristics to person specification. 4 - Meets many of the requirements.
3 - Meets some of the requirements. 2 - Little similarity. 1 - No similarity

Criteria	Evidence from Interview – in relation to person specification requirements	1	2	3	4	5
Skills, Knowledge & Experience						
Equal Opportunity	Must be able to recognise discrimination in its many forms and willing to put the Council's Equal Opportunity policies into practice					
Qualifications						
Attitude and Motivation						
Other						
Total						

General notes or other comments

Recommendation With
Reasons For Acceptance / Reserve / Rejection

Panel Members:

Name (in Block Capitals)

Signatures

Instructions for Use of Interview Record

- 1 This form must be completed for all candidates by the panel. After the interviews, all completed forms must be returned with the application forms to the HR section. The application forms and notes on rejected candidates will be destroyed after six months.
- 2 Interviewers may wish to add sub-headings to the columns from the person specification as reminders of the kind of information, which should be obtained at the interview, or to remind them of points they wish to pursue. Interviewers (and hence their notes) should always be working to compare the candidates' attributes against those shown in the person specification. The job description for the post concerned will be a guide also to the skills and knowledge required. Care must be taken not to introduce irrelevant criteria.

Panels may wish to "weight" certain items by comparison with others; if this is done, an indication of the weighting used must be given on this form. This will avoid a candidate getting the highest overall score whilst scoring low for the most important criteria being appointed. Clear reasons as to why a candidate was appointed and others rejected must be kept to back up the selection decision.

- 3 A clear recommendation to accept or reject, with reasons, must be given, and the form must be signed by the members of the panel. If appointable but not the first choice and a reserve, reasons for this must be shown on this form.

POLITICALLY RESTRICTED POSTS

THE LAW

Section 1, 2 and 3 of the Local Government and Housing Act, 1989, have the effect of imposing restrictions on public political activity by certain employees of Local Authorities. Under the Act, the Authority is required to prepare lists of posts which are covered by the provisions of the Act. Four categories of posts are caught and employees occupying those posts have restrictions placed on the public political activity in which they can participate.

The categories are:-

LIST 1 Those whose posts are specified in the Act. This includes:-

The Chief Executive

All Directors

Heads of Service

Senior Assistants and Assistants

Other staff who report directly to the Chief Executive, a Director or a Head of Service (except in a secretarial or clerical role).

LIST 2

Any employer who occupies a post which has delegated authority to discharge a function of the Council – in effect this catches all employees who are included in the list maintained under Section 100G(2) of the Local Government Act 1972.

LIST 3 Those posts for which the annual rate of remuneration is at a specified limited, which is currently set at Column Point 44 or over for a full-time post or, if the post is part-time, with an annual rate of remuneration which pro rata equates to SCP 44 or above.

LIST 4

Politically sensitive posts are posts not covered by lists 1, 2 or 3 but where duties consist of or involve either or both of the following:

Giving advice on a regular basis to the Authority, to any Committee or Sub-Committee of the Authority or any Joint Committee on which the Authority is represented.

Speaking on behalf of the Authority on a regular basis to journalists or broadcasters.

Posts may be included in only one of the lists, and in practice, it will be necessary to test each post against the conditions for inclusion in each list on a consecutive basis. Once a post fits the criteria, it goes in that list and no further checking against other lists is necessary. However, should at any future date an individual post no longer meet the criteria for inclusion in that particular list, it will be necessary to again check it against the conditions for the other lists working through them consecutively.

None of the above provisions apply to principals, head teachers or teachers in educational establishments.

IMPLICATIONS OF INCLUSION

The effect of the inclusion of a post (and consequently the post holder) in the list is that by law the officer is prevented from becoming a member of the House of Commons or of the European Parliament, and is not allowed to be a member of a Local Authority (except a Town or Parish Council). The Act also provides that the terms of appointment and conditions of employment of such post-holders will be deemed to incorporate the restrictions on public political activity. In addition, regulations have been issued which prevent the employee from:

Holding office in a political party

Canvassing at elections

Speaking or writing publicly on matters of party political controversy.

PARTICIPATING IN ELECTIONS

The holder of a politically restricted post cannot announce (or authorise or permit anyone else to announce) their candidature for election to a Local Authority (other than a Town or Parish Council), to the European Parliament or to the House of Commons. This means that anyone wishing to be such a candidate would first have to resign from their employment in a politically restricted post.

In cases where “restricted” employees indicate in writing that they wish to resign because they intend to be announced as a candidate for election to the House of Commons or the European Parliament or a Local Authority at a pending election, the appointment will terminate immediately on the employee giving notice. For the purpose of this restriction an election is taken to be pending:

- for a general election, if the date proposed for the dissolution of Parliament preceding that election has been announced;
- in the case of a by-election, if the vacancy giving rise to the election has occurred.

Restricted post holders are also precluded from acting as an election agent or sub agent for a candidate for election to a Local Authority (other than a Town or Parish Council), the House of Commons or the European Parliament.

POLITICAL PARTY WORK

The holders of politically restricted posts are not allowed to be officers of a political party (or of a branch of such a party) in any post which would be likely to require them to:-

participate in the general management of the party or branch;

or

- (ii) act on behalf of the party or branch in dealings with persons other than members of the party or members of another political party associated with the party (ie. dealings with non-party members).

The above does not prevent them from being a member of a political party and would not seem to preclude them from, for example, serving on a ‘social’ committee of the political party/branch provided that this does not involve them in the general management of the party or branch.

It seems that an employee could be a member of the House of Lords and would not be politically restricted.

CANVASSING

Restricted post holders are precluded from canvassing on behalf of political parties or candidates (or those who propose to be candidates) for election to the European Parliament, the House of Commons or a Local Authority. This restriction is not limited to the area of the employing Authority but will apply in any part of the country.

SPEAKING OR WRITING IN PUBLIC

The regulations covering this aspect prevent restricted post-holders from speaking in public where there is an apparent intention to affect public support for a political party.

Further, individuals will not be able to publish any written or artistic work by them or which they may have edited, if the work appears to be intended to affect public support for a political party. Nor can they authorise or permit another person to publish such work. These restrictions do not prevent an employee from displaying a poster at home or in a car or on other personal possessions.

The above restrictions are to be construed so as not to preclude officers from engaging in the proper

performance of their official duties.

The crucial question in this aspect will be the intention of the person concerned when speaking in public or writing. In considering intention, regard will be had to certain matters such as whether there is a reference to a political party, to persons identified with a political party and whether the speech or work promotes or opposes a point of view on a matter of political controversy which is identifiable as the view of one political party and not another. These matters are not of themselves a test of whether the speech or work infringes the rules; they are the evidence from which that intention can be deduced. The test is whether the intention is to affect public support for a political party. It seems possible that a speech or work could refer to a political party, or to a person identified with a political party without showing an intention to affect public support for the party. Everything would depend on the context and the other indications of the speaker or writer.

The above should not prevent an employee from writing 'normal' professional or technical articles for magazines, etc.

PROCEDURE IF AN EMPLOYEE CONTRAVENES THE STATUTORY PROVISIONS

There is no provision in the Act, which sets out the procedure to be followed or the penalties likely to be incurred. However, as the Act deems the terms and conditions of employment to include the restriction on political activity, such matters would need to be dealt with under existing employment and other laws.

In the case of office in a political party, canvassing, speaking or writing on political issues, there is no specific existing provision for any penalty or making the action a criminal offence – but the inclusion of the restrictions in the terms of employment and conditions of service of the employee make it a disciplinary offence to be dealt with by the Council.

POLITICAL SENSITIVITY

The 'rules' as to what constitutes 'political sensitivity' are still being developed. However, the Independent Adjudicator, in dealing with cases, has given views that give some indications.

Attendance and speaking at committee meetings does not necessarily involve giving advice on a regular basis. In taking a view two factors will be relevant, viz;

The job description (ie the declared intention of the employer as to what the post holder is paid to do) and

What other officers are in attendance at the meeting and their role.

'REGULARLY ADVISING COMMITTEES'

Professional Staff

Whether or not posts will be caught under this provision will depend very much on job content. For example, professional people speaking to a report at a committee, even if holding themselves out as representing views of their principal, will normally be regarded as giving advice.

Committee Staff

Staff in attendance to provide a secretarial service (in its broadest sense) and speaking occasionally on procedural matters would not seem to be in attendance to advise members.

Committee Staff (even junior ones) who have a licence from their Chief to speak to reports before committee and to help members with their work, are giving advice and, therefore, will be included in the list as 'politically sensitive'.

It is quite possible for committee staff to take members through an agenda without offering advice and, if other staff are in attendance, to advise on the decision taken, the committee staff would not be taken to be advising regularly. On the other hand, committee staff who attend as the sole representatives of their department,

could be employed to give advice.

Whether or not a post is politically sensitive will depend on the working practices and it will be necessary to distinguish between 'attending and speaking' and 'attending and advising'. Answering the question 'What is the postholder required to do at the meeting?' should help to provide an answer as to whether or not the post should be listed.

Deputising

Where an employee is occasionally called upon to deputise for an immediate superior in 'advising' a committee or sub-committee, this would not be regarded as giving advice on a regular basis.

Temporary Postholder

Where a post included in the list of politically sensitive posts is filled by a temporary postholder whilst a permanent appointment is made, that temporary post holder would be subject to the political restrictions whilst filling the post.

More Senior Staff Present

An officer who attends meetings on a regular basis to present a report and to speak only on the factual implications of the report will not normally be regarded as politically sensitive if there is also present at the meeting a more Senior Officer from the same department whose role is to advise members on the implications of the report.

Similarly an officer presenting an annual report on a particular area of work and required on a very occasional basis to advise, will not normally be regarded as politically restricted if they are not required to advise on every annual report (ie regular can be once annually but only if advice is given every year).

'Regularly Speaking to the Media'

Officers who are employed to speak to the media are not automatically caught by the legislation. The test of speaking on behalf of the Authority must be applied and regard had to the intentions and possible consequences of the work. The question to be asked is 'What is the purpose and practice of the post?'. If it is intended to involve a regular dialogue with the media in a speaking capacity on behalf of the Authority, then it will need to be listed.

ROLE OF HUMAN RESOURCES SECTION

The Human Resources section shall issue to employees in politically restricted posts a copy of this appendix.

Applicant's Name: _____

Post applied for: _____

The following employment details have been supplied by the above.
Please can you confirm whether these are correct or amend as appropriate.

Position held: _____

Starting date: _____ Leaving Date: _____

Confirmed: Yes No

For Agency / Casual Employment Only
Please confirm dates actually worked within the last 6 Months.

North Warwickshire Borough Council



HR Section
PO Box 4
The Council House
South Street
Atherstone
Warwickshire
CV9 1DE

Tel: 01827 719236

Fax: 01827 719225

Please supply brief detail of duties undertaken

Your Name: _____

Relationship to Applicant: _____

Information for Referees

If the applicant is successful with their application, this reference will be placed in their personal file. In terms of the Data Protection Act 1998, all employees have right of access to their personal files and therefore to this reference. If the applicant is unsuccessful, the reference will be retained with recruitment papers for 6 months. During this period if the applicant requests access this will be granted. Provision of a reference will be taken as also granting consent to access.

Please give your opinion on the following:

	Above Outstanding	Average	Below Average	Average	
A Judgement Makes good, sound decisions and knows when to act or advise.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Makes erratic, hasty decisions. Hesitant.
B Analytical Skills Has ability to analyse problems. Thinks things through logically.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Tendency to make rash decisions and not think things through.
C Foresight Has ability to think ahead and plan for problems before they arise.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Lacks ability for forward planning.
D Written Communication Written work is neat, concise, well-expressed and easy to understand.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Written work is scruffy, confusing and poorly expressed.
E Oral Communication Verbal expression is well mannered, clear and easily understood	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verbal expression is poor, not easily understood.
F Acceptance of Responsibility Willing to accept responsibility and uses initiative.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Avoids responsibility and lacks initiative.

G Ability to get on with others

Well liked and respected by colleagues.
Works well as part of a team.

Unpopular. Lacks ability to work as part of a team.

H Tactful and sensitive in dealing with clients/public.

Tactless, abrasive with Clients/public.

I Ability to produce constructive ideas

Innovative. Has the ability to think quickly on his/her feet.

Slow to grasp the point. Prefers to be told what to do.

J Drive and Determination

Self-motivated and persistent. Gets things done. Good timekeeper.

Unmotivated, lets things slip. Poor timekeeper.

K Reliability Under Pressure

Resilient, works well under pressure. Level headed.

Performance poor under pressure. Tends to panic.

L Flexible, adapts quickly to new situations.

Resists change, slow to adapt.

M Quantitative Skills

Has the ability to handle, interpret and calculate figures.

Lacks the ability to handle/understand figures.

N Management of Staff

Was/is the candidate responsible for managing staff.

Yes No

If Yes, how many and in what capacity?

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

Any Other Comments/Observations (Please continue on a separate sheet of paper if necessary)

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

Disciplinary Record

If Yes please give details

Yes No

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

Time Keeping

(If average or poor please give details, as appropriate)

Excellent Above Average Average Poor

.....

Total number of days sickness taken in the last 2 years:

.....

Total number of periods of absence. Please list:

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

How often do you see the applicant's work? **Daily** **Weekly** **Monthly**

Are you responsible for performance appraisal/assessment? **Yes** **No**

Any other comments you wish to add:

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

Would you re-employ this applicant? **Yes** **No**

If no, is this because of company policy? **Yes** **No**

If no, please give details:

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

(Note: If the reply to any question is adverse to the applicant, it does not necessarily bar them from appointment. Every case is considered on its merits)

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

List of acceptable documents to prove eligibility to work in the UK

Employment is subject to sight of documentary evidence of eligibility to work in the UK in accordance with the Immigration, Asylum and Nationality Act 1996. Below is a list of acceptable documents:

You must provide:

Either one of the single documents, or two of the documents in the specified combinations given, from List A;

Or one of the single documents, or two of the documents in the specified combinations given, from List B.

List A

1. A passport showing that the holder, or a person named in the passport as the child of the holder, is a British citizen or a citizen of the United Kingdom and Colonies having the right of abode in the United Kingdom.
2. A passport or national identity card showing that the holder, or a person named in the passport as the child of the holder, is a national of the European Economic Area or Switzerland.
3. A residence permit, registration certificate or document certifying or indicating permanent residence issued by the Home Office or the Border and Immigration Agency to a national of a European Economic Area country or Switzerland.
4. A permanent residence card issued by the Home Office or the Border and Immigration Agency to the family member of a national of a European Economic Area country or Switzerland.
5. A Biometric Immigration Document issued by the Border and Immigration Agency to the holder which indicates that the person named in it is allowed to stay indefinitely in the United Kingdom, or has no time limit on their stay in the United Kingdom.
6. A passport or other travel document endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the United Kingdom, has the right of abode in the United Kingdom, or has no time limit on their stay in the United Kingdom.
7. An Immigration Status Document issued by the Home Office or the Border and Immigration Agency to the holder with an endorsement indicating that the person named in it is allowed to stay indefinitely in the United Kingdom or has no time limit on their stay in the United Kingdom, **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.
8. A full birth certificate issued in the United Kingdom which includes the name(s) of at least one of the holder's parents, **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.
9. A full adoption certificate issued in the United Kingdom which includes the name(s) of at least one of the holder's adoptive parents **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a

Government agency or a previous employer.

10. A birth certificate issued in the Channel Islands, the Isle of Man or Ireland, **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

11. An adoption certificate issued in the Channel Islands, the Isle of Man or Ireland, **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

12. A certificate of registration or naturalisation as a British citizen, **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

13. A letter issued by the Home Office or the Border and Immigration Agency to the holder which indicates that the person named in it is allowed to stay indefinitely in the United Kingdom **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

List B

1. A passport or travel document endorsed to show that the holder is allowed to stay in the United Kingdom and is allowed to do the type of work in question, provided that it does not require the issue of a work permit.

2. A Biometric Immigration Document issued by the Border and Immigration Agency to the holder which indicates that the person named in it can stay in the United Kingdom and is allowed to do the work in question.

3. A work permit or other approval to take employment issued by the Home Office or the Border and Immigration Agency **when produced in combination with** either a passport or another travel document endorsed to show the holder is allowed to stay in the United Kingdom and is allowed to do the work in question, or a letter issued by the Home Office or the Border and Immigration Agency to the holder or the employer or prospective employer confirming the same.

4. A certificate of application issued by the Home Office or the Border and Immigration Agency to or for a family member of a national of a European Economic Area country or Switzerland stating that the holder is permitted to take employment which is less than 6 months old **when produced in combination with** evidence of verification by the Border and Immigration Agency Employer Checking Service.

5. A residence card or document issued by the Home Office or the Border and Immigration Agency to a family member of a national of a European Economic Area country or Switzerland.

6. An Application Registration Card issued by the Home Office or the Border and Immigration Agency stating that the holder is permitted to take employment, **when produced in combination with** evidence of verification by the Border and Immigration Agency Employer Checking Service.

7. An Immigration Status Document issued by the Home Office or the Border and Immigration Agency to the holder with an endorsement indicating that the person named in it can stay in the United Kingdom, and is allowed to do the type of work in question, **when produced in combination with** an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

8. A letter issued by the Home Office or the Border and Immigration Agency to the holder or the employer or prospective employer, which indicates that the person named in it can stay in the United Kingdom and is allowed to do the work in question **when produced in combination**

with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

Further information can be found on the Border and Immigration website
<http://www.ukba.homeoffice.gov.uk/>

Identity Check and Eligibility to Work in the UK
(To be completed by the recruiting manager at interview)

Applicant's Name:.....

Address:.....

.....

Post Applied For:.....

List of Original Evidence Seen: Copies Attached

1.....

2.....

I confirm that I have seen and checked the original documents as stated above and

I am satisfied that the above named is the rightful holder of these.

Signed.....

Print Name and Job Title.....

Date.....

Agenda Item No 6

Special Sub-Group

29 April 2013

**Report of the Assistant Director
(Finance and Human Resources)**

Corporate Workforce Plan 2013-16

1 Summary

1.1 This report attaches the Corporate Workforce Plan for 2013-16.

Recommendation to the Special Sub-Group

That the Corporate Workforce Plan be approved.

3 Introduction

3.1 The Local Government Workforce Strategy was originally launched in 2003, and has been updated on a number of occasions since then. One of the recommendations from the strategy is for local authorities to have a workforce plan, as this is considered best practice. Clearly it is in the interests of the Council to have a workforce plan, given the importance of the workforce in service delivery.

4 Current position

4.1 The Corporate Workforce Plan is produced every three years, and an updated version for 2013-16 is attached at Appendix A. Workforce issues within services are reviewed on an annual basis, as part of Divisional service Plans.

5 Report Implications

5.1 Risk Management Implications

5.1.1 Assessing current and future service needs against the existing workforce, allows action to be taken where necessary, to minimise the risks of having an unsuitable workforce in the future.

5.1.2 The workforce plan contains a number of actions. The financial, legal, equalities and sustainability implications of all of the actions are assessed, before they are undertaken.

5.2 Links to Council's Priorities

5.2.1 The plan looks to develop our workforce, which directly contributes to the Local Employment priority.

The Contact Officer for this report is Sue Garner (719374).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

Corporate Workforce Plan 2013 - 2016



**North Warwickshire
Borough Council**

February 2013

Foreword by the Chief Executive

Our Council is a people business that relies on its own people to deliver high quality services. If we are going to achieve excellence we must ensure that we have the right people, with the right attitudes, behaviours and competencies, in the right jobs at the right time. In order to manage change effectively and improve service delivery, we need to plan ahead. Workforce planning will be used as a tool to identify where we are now in terms of service delivery and support, where we want to be in the future and how the workforce needs to change to ensure that we can deliver consistent and high quality services for the people who live and work in the Borough.

This Workforce Plan sets out how the improvement activities will be achieved. We now have a better understanding of the changes we need to make now to build a stronger workforce for the future. It sets our challenges in context and begins the process of planning for future workforce needs. The process will help managers to understand the complexity of resource and employment issues and to more efficiently manage the longer-term issues facing the Council and its stakeholders.

It is a template for positive action in human resource management and development which will position us well in rising to the challenge of the Government's Pay and Workforce Strategy which has a ten year vision for local government and also drives our improvement agenda.

I fully endorse the Corporate Workforce plan which will be used as a backdrop to all future service-based Workforce Plans which are now features of forward planning across the Council, complementing our integrated business and budget planning process.

Jerry Hutchinson
Chief Executive

1. Introduction

As a local authority we have a responsibility to ensure excellence, value for money and continuous improvement in service delivery. To achieve this we need to ensure that we can support the delivery by having the right people in the right place, at the right time with the knowledge, skills and attitudes to deliver quality services.

The Council's vision is:

North Warwickshire, a place where people want to live, work, invest in and visit. A Council that despite tough times, maintains its front line services and works to improve the health and well-being and economic environment.

Excellent service can only be provided by a well-trained workforce and good leadership, working together to achieve our key priorities.

The Council's key priorities are:

1. PUBLIC SERVICES AND COUNCIL TAX - Protecting public services for local people whilst maintaining a balanced budget and keeping Council Tax increases lower than inflation.
2. LOCAL EMPLOYMENT - Bringing more jobs to North Warwickshire, whilst seeking to protect existing jobs and developing our workforce.
3. ENVIRONMENT - Protecting and improving our local environment.
4. RECYCLING - Improving recycling.
5. CRIME AND DISORDER - Working with the Police, Parish Councils, Town Councils, the community and other partners to tackle Crime and Anti-Social Behaviour.
6. COUNTRYSIDE AND HERITAGE - Protecting and improving our countryside and heritage.
7. HOUSING - Listening to and working with our tenants to maintain and improve our housing stock and providing affordable housing in the right places and intervene where appropriate to ensure private sector stock is in good condition and occupied.
8. ACCESS TO SERVICES - Providing easier access to Council services, particularly through the internet.
9. CONSULTATION AND COMMUNICATION - Improving communication of information and community consultation, including, where appropriate, providing the opportunity to be involved in decision making.
10. HEALTH AND WELL-BEING - Helping to tackle health inequalities by working with the County Council and the NHS locally and by encouraging, where financially viable, leisure opportunities in local communities.

The Corporate Workforce Plan is produced every three years and the workforce issues are integral to the service plans, which are produced annually by the Assistant Directors and their teams.

This corporate workforce plan contains elements of the Council's HR Strategy and plan and the training and development plans in order to provide context to the established priorities within the national guidance.

The national strategy's main objective is to;

“Support Councils in achieving the skilled, motivated, flexible and diverse workforces they need to deliver value for money services that make a difference to the communities they serve.”

What is workforce planning?

- 1.1 We deliver our services through people. Our continued success therefore depends on working with our partners to attract, retain and develop appropriately skilled and motivated people.
- 1.2 Workforce planning aims to enable us to do this by getting the right people, with the right skills, doing the right job at the right time. It encourages us to look forward and plan for the needs of the future so that we can ensure we have strategies to build the relevant skills and capacity needed to realise our ambitions and priorities.
- 1.3 Workforce planning means:
 - ◆ Identifying the current and future skills and number of employees needed to deliver new and improved services
 - ◆ Analysing the characteristics of the current workforce in relation to those needs
 - ◆ Comparing the present workforce and the desired future workforce to highlight shortages, surpluses and competency gaps
 - ◆ Looking at the authority's diversity profile at all levels against that of the local population

How does the Corporate Workforce Plan fit into the planning process?

- 1.4 The corporate Workforce Plan forms one element of our HR Strategy Action Plan. The HR Strategy Action Plan is reviewed regularly to ensure it is in line with the HR Strategy to meet the Council's vision.
- 1.5 Our HR Strategy was first agreed in 2005 and the 2011 – 2016 strategy was agreed at Special Sub group in February 2012 and represents our vision for people management in the organisation which is:

“To achieve efficiency and effectiveness in service delivery, we will endeavour to create an environment in which our staff are highly trained, motivated and equipped with skills required to deliver the Council's aims and objectives.”

Finance

- 1.6 The Government, elected in 2010, has actioned a programme to reduce the national budget deficit. Local Government is facing a period of service fiscal restraint with cuts in grants announced in the Comprehensive Spending Review in October 2010. Central Government

funding to local authorities will be cut by 27% in real terms over the Spending Review period:

- £26.1 billion for 2011/12
- £24.4 billion for 2012/13
- £24.2 billion for 2013/14
- £22.9 billion for 2014/15

In the 3 years 2010-11 to 2012-13 the Council have made savings of £1,672,000. Our current medium term financial strategy indicates further savings of £1.2 - £1.6 million will be required by the end of 2016-17.

The need for change to manage this financial climate inevitably has a direct impact on our workforce. In order to achieve our key priorities and our objectives we need to engage staff to change how they think and operate. We are clear about what we want to achieve, to get there we will have to consider different cost-effective methods of providing our services. This includes examining all available information including responses from our staff survey. Development needs are assessed annually as part of the appraisal review in order to ensure that our staff have the skills we need. Our workforce plan compliments our HR Strategy.

1.7 Our HR Strategy aims and objectives are:

- ◆ To provide a framework to support the development of staff to improve services to the community and achieve the Council's aims and objectives
- ◆ To create an environment where staff are valued and their contribution is recognised
- ◆ To communicate standards of conduct to employees
- ◆ To maintain a comprehensive, professional and ethical HR service
- ◆ To have good employee relationships with staff and trade unions
- ◆ To recognise that change is necessary and develop strategies to assist with the implementation of change
- ◆ To promote the Council as a good employer and develop policies to improve terms and conditions of employment
- ◆ To promote a healthy, safe and effective workforce through appropriate policies and working environment
- ◆ To exploit technology to improve the efficiency and effectiveness of services

- ◆ To maintain relationships necessary to promote a motivated workforce by dealing with staff welfare issues, such as employment benefits, counselling, advice and sickness monitoring.

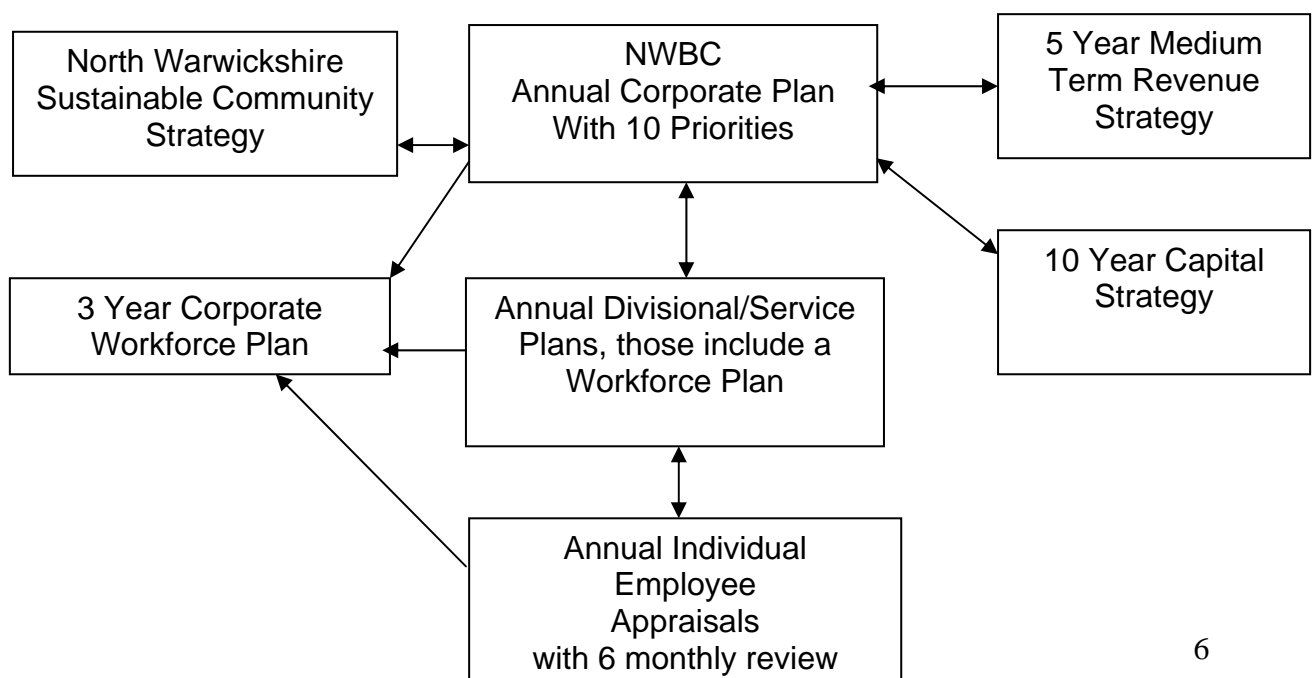
1.8 We have developed a comprehensive action plan to implement this strategy, which also includes the response to our annual Staff Surveys. The staff survey assesses levels of employee engagement and gives employees the opportunity to feedback. The 2012 survey has enabled us to understand the level of knowledge the staff have about corporate issues and a range of internal communications and provides clarity on areas requiring development. Assistant Directors develop an action plan for their divisions from the results of the survey.

1.9 Vacancies are filled by a combination of internal and external job applications. If filled by internal candidates, career progression and development is provided, which builds skills, experience and motivation. Appointment of external applicants can bring fresh ideas together with a different perspective contributing to new ways of working.

Management Team monitor vacancies with a view to reducing the establishment where possible, which has been influenced by budget savings, restructurings and the need to find suitable alternative employment for staff at risk. Services have reviewed the way they work using a systems thinking approach, which has given considerable savings to the Council.

Other areas of corporate savings have been in relation to terms and conditions such as changes to staff travel arrangements and enhancements.

1.10 In addition every divisional service plan is now expected to contain a workforce plan for the local needs of the specific service area. The diagram below shows the main elements of the Council's overall planning process in relation to workforce planning.



1.11 The implementation of this workforce development plan will be monitored by Extended Management Team.

1.12 **Key Achievements**

This plan seeks to build in a coherent manner on a number of achievements related to workforce planning which include:

- ◆ NWBC was one of the first Councils to implement single status and introduce a single pay and grading framework. By introducing this we have avoided potential claims under a number of areas of employment law including Equal Pay and Sex Discrimination legislation. The process of evaluating jobs is well established and operated in partnership with the trade unions.
- ◆ The development of more flexible working arrangements and new HR policies (eg employees who are carers)
- ◆ The progression of apprenticeships and adult apprenticeships
- ◆ Increased numbers of employees with NVQ Level 2 and level 3 qualifications and numeracy and literacy qualifications.
- ◆ Developing partnerships to deliver training eg E learning
- ◆ Using coaching to assist staff who have a learning or improvement objective such as improving personal performance or maximising potential.
- ◆ Training managers to adopt a coaching style.
- ◆ The development of a staff charter

The above list is not exhaustive but shows that there is a strong drive and determination in the authority to make the best possible use of its key resources, its people.

This workforce development plan will build upon these achievements and the Council's reputation as a good employer to ensure that we can meet the various challenges ahead in continuing to recruit, retain and develop the workforce of the future.

2. The Wider Context

The Local Government Workforce Strategy (2010)

2.1 This is the fifth update of the local government workforce strategy, originally launched by the ODPM in 2003. Like its predecessor in 2007 this strategy has been developed following extensive consultation with the sector so that the strategy is now wholly owned and driven by local government.

2.2 This 2010 strategy retains the five strategic priorities from the 2007 Local Government Workforce Strategy, with some small changes to reflect the changed context. It sets out the action needed locally, regionally and nationally and the challenges for leaders and chief executives as well as HR managers.

2.3 The five **strategic priorities for local authorities** (working with their partners, external service providers and other authorities where relevant) are:

A. Organisational Development – addressing the workforce dimensions of organisational transformation to deliver citizen-focused and value for money services, in partnership.

B. Leadership Development – building visionary, ambitious and effective leadership to make the best use of political and managerial roles, in a partnership context.

C. Skills Development – with partners, developing employees' skills and knowledge, in an innovative, high performance multi-agency context.

D. Recruitment and Retention – with partners, taking action to: recruit and retain the right workforce; address key future occupational skill shortages; promote jobs and careers; identify, develop and motivate talent and address diversity issues.

E. Pay and Reward – implementing effective approaches to reward the workforce while controlling employment costs to reflect budget and efficiency requirements, as well as new ways of working and innovative working patterns. Encouraging a total reward approach to promote high performance.

The strategy advises that as every council and every region is in a different position in relation to workforce challenges, councils need to decide their particular priorities for action, within the national context.

2.4 Below is a brief commentary on our activity to address these priorities.

A. Organisational Development
Actions
<ul style="list-style-type: none">◆ every divisional/service plan will contain a section on workforce issues and how they are being addressed.◆ there is a strong equalities focus with equalities built into policies and planning.◆ there is a strong risk management culture with risk assessment built into policies, service and corporate planning.◆ performance management is given a high priority with performance indicators being reported on monthly to the Council's management team and quarterly to service boards. Individual staff appraisals have agreed future work plans which are monitored against the targets.◆ HR and the Community Development Officer (Health Improvement) work to improve the health and wellbeing of our workforce.

B. Leadership Development

Actions

- ◆ leadership development programmes are offered at all levels, including accreditation. Senior and middle management development is underpinned by a 360° feedback process and the offer of individual coaching.
- ◆ our recruitment policy includes measures to encourage a more diverse workforce and we place a key emphasis on recruiters being appropriately trained.

C. Skills Development

Actions

- ◆ divisional/service workforce plans outline our current and future skills needs and how they will be met.
- ◆ we have signed up to supporting a minimum entitlement of up to NVQ level 2 qualification in an area that is relevant to our business.
- ◆ development opportunities are wherever possible offered in a variety of ways.
- ◆ we have a well developed Corporate Training Plan which is updated annually as part of the planning process.
- ◆ All employees have the opportunity of an Appraisal with their line manager to agree learning and development needs in line with the business plan.

D. Recruitment and Retention

Actions

- ◆ workforce planning is built in to our corporate business planning process.
- ◆ we offer work experience placements and apprenticeships.
- ◆ we have an agency agreement to reduce the cost of agency staff.
- ◆ our on-line recruitment system has made the application process more effective and efficient as well as being a partner with the WMLGA Recruitment Portal.
- ◆ we are exploring shared services as a means to building capacity and resilience.

E. Pay and Reward

Actions

- ◆ all managers are trained in managing personal performance, and where appropriate are offered training in handling capability, absence, and discipline.
- ◆ new HR systems and software have been implemented to improve workforce data and increase information for managers.
- ◆ given the current economic downturn the application of market supplements has been reviewed.

3. The Local Context - The Borough and its Challenges

- 3.1 North Warwickshire Borough Council lies right in the centre of England. Although bordering the major cities of Birmingham and Coventry, the borough is predominantly rural green belt, with three market towns and numerous villages. It is the most northerly of the districts in Warwickshire, covering 110 square miles.
- 3.2 NWBC has plans for new housing, affordable housing and industrial land. The challenge is to achieve the balance between protecting the countryside and developing sustainable settlements. It recognises the value of small local communities, their identity and the facilities that serve them. It aims to reverse the decline of community life, increase social inclusion and achieve growth but not at the expense of the rural character of North Warwickshire.
- 3.4 In the area of Environment, and in the drive for more sustainable development, the policies continue to focus on development restraint with greater emphasis on bringing remote worn out industrial sites back into public use.
- 3.5 In Transport, the need to achieve sustainability leads towards policies that favour public transport, walking and cycling to serve the movement needs of development.
- 3.4 Towns have been recognised as important service centres for the wider rural areas of the Borough. The Council promotes policies in a number of areas to develop the viability and vitality of the towns.
- 3.5 The Borough is now gradually being transformed from a place heavily dependent on older, low-value added manufacturing industry to one that is able to generate, attract and retain newer growth industries. Many of the former colliery sites have been restored and are now industrial parks including the state of the art BMW engine factory.
- 3.6 The achievements have been through sound partnership working arrangements that ensure that we are maximising the capacity, expertise, creativity, energy and resources that are available locally to achieve our Community Priorities.

Specific Organisational Issues & Challenges

- 3.8 As we are looking to transform the Borough overall, we are also seeking **to transform our organisation**. Key focuses include:
- ◆ To ensure that we engage fully and effectively with all sections of the community;
 - ◆ To 'get closer' to our community and to put in place a framework for improving the planning and co-ordination of Council and other partners' services at a more localised neighbourhood level;

- ◆ To transform the way we deliver services to improve further our operational efficiency and to improve our service to customers by radically changing the way we do business through the introduction of improved ICT systems;
- ◆ To continue to ensure that equality, diversity and social inclusion are at the heart of all our policies and the way we deliver services to the community;
- ◆ To further improve our partnership working arrangements to respond to the challenges facing us across the borough and to deliver our vision and specific targets in the Community Strategy.
- ◆ To maximise the resources that are available to us to enable the delivery of our priorities: and
- ◆ To shape our workforce and organisational culture to enable the technology to deliver the maximum benefit, in terms of both effectiveness and efficiency, to our customers and the organisation.

3.8 Our overall driving force, as one of the main public service deliverers in the Borough, must be to keep delivering high quality, improving and accessible services to all sections of our community and all parts of NWBC.

4. Local Government Demographics

By combining data from the Local Government Earnings Survey, Quarterly Public Sector Employment Survey and Labour Force Survey, the LGA have produced a demographic profile of the local government workforce. This includes data on age, gender, ethnic group and disability status as at October 2010.

Key findings include:

- There is a modest increase in local government employees under 30 over the last 10 years, and a shift to more people over 55 although this is consistent with the wider shift in the population.
- Around $\frac{3}{4}$ of the workforce are female except in shire districts where just over half the workforce are female.
- Around 8 per cent of the local government workforce are of black, asian and minority ethnicity. The figure increases to 36 per cent in London Boroughs.

- Over 15 per cent of the local government workforce are Disability Discrimination Act disabled or work-limiting disabled. This is in line with rates in the rest of the public sector but almost 3 per cent higher than in the whole economy and private sector.

In relation to gender and age NWBC reflects the national trend for districts. However, we are much lower for ethnicity and disability.

Below is the age profile of local government employees in England and Wales compared to North Warwickshire Borough Council

Age Bands	October 2010 - The latest figures for England and Wales %	October 2012 - NWBC %
16 – 17	0.3	0.39
18 – 19	1.0	1.78
20 – 21	1.3	2.37
22 – 24	3.3	5.33
25 – 29	6.8	7.89
30 – 34	7.9	8.68
35 – 39	11.0	11.24
40 – 44	15.7	12.43
45 – 49	17.2	15.38
50 – 54	14.6	14.00
55 - 59	11.7	11.44
60 – 64	6.9	6.11
65 – 69	1.7	2.96
70 and over	0.6	0.00

4. Our Current Workforce

4.1 Key indicators (as at 4 October 2012)

Total workforce	434 342 FTE	This figure has dropped by 5.25% since November 2008
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% employees from BME backgrounds	3%	This figure is a slight increase of 0.16% since November 2008
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% employees with a disability	3.15%	This figure has dropped by 1.04% since November 2008.
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Workforce composition by gender	57% female 43% male	The balance between females and males has changed with an increase from 44% to 57% females. Females are more likely to be in part time posts
% of women in top 5% of earners	34%	This is stable showing a small increase of 0.36%
% of part time staff	39.23%	This shows a small increase of 3.34%. 77.7% of part time workers are female, which is also a small increase on the November 2008 figure of 75%
Turnover	10.95% per annum	This has increased by 2.88%. It is still considered to be within an acceptable range
Workforce composition by age		17.8% of our employees are young people (aged 16-29) and 9.1% are older people (aged 60+). 32.4% of the workforce is in the 30-44 age category and 40.8% are in the 45 – 59 age category. 34.5% are aged 50 +. This presents key challenges given it is still possible to retire at 60 without Employer's permission within current Local Government Pension Scheme regulations.

The abolition of the default retirement age and concerns about pensions suggest that more people will continue working up to and beyond 65. Therefore it is important to consider in future plans and strategies the recruitment and retention of both older and younger employees. The Council has made good progress in increasing the percentage of younger employees in recent years. Retention of older employees is assisted in part by our retirement policy introduced in 2011.

5. Key Workforce Challenges

General

- 5.1 The Council has a number of policies which provide a range of options for flexible working arrangements, enabling new ways of working that assist the delivery of services whilst maintaining a good work-life balance for the employees.
- 5.2 Work has been done on identifying corporate savings over the last years in relation to terms and conditions. These include changes to local travel arrangements and enhancements.

- 5.3 There are some good examples of joint working across the authority. We will continue to work with other authorities to identify areas where this is feasible to address skill shortages, resilience and/or improve efficiency in service delivery.
- 5.4 Managers in the organisation have identified the following issues with respect to the changing nature of our customer base and the services we deliver:

The changing nature of the population

5.5 Key features include:

- An ageing population
- People working longer in terms of their age in full or partial retirement
- More people with complex disability and health needs
- More people with high levels of ICT literacy
- Variations in wealth and increasing homelessness
- A more environmentally aware population
- Increasing single occupancy households
- Increased housing provision

Changing expectations in service delivery

5.6 **Key issues include:**

- More choice of options to access services – timing, location
- Higher expectations of quality, value for money and speed of response
- Agencies working together to provide seamless service – a single point of contact
- Differing needs and expectations of the urban and the rural communities
- Increased demands for services for older people and people with disabilities

5.7 **These issues will mean that our future workforce will:**

- Work more in co-located services (with partner agencies) with generically skilled frontline staff
- be more mobile
- work more from home
- have less “personal” office space
- enjoy more flexible working options
- use ICT more to support new ways of working
- work increasingly in joint teams with partner organisations

5.8 Future Challenges

In the light of the financial challenge the Council faces, reviews are likely to see changes in structures and further reductions in overall staff numbers. These will be managed using the Council's redundancy and redeployment policies.

Plans for changes to our workforce will take account of budget reductions, succession planning, knowledge management and alternative ways of delivering services and transforming our services for the future.

The way in which we work will also change. There will be a much greater focus in partnership working and shared services and our workforce will need to acquire and develop new skills to be able to meet the challenge of the new ways of working. This will ensure that the Council has a workforce that will respond to the demands of the service delivery both in the short and longer term.

5.9 Divisions have key issues and actions to deal with and these are in their divisional plans. Examples of these are:

- Structures are constantly under review looking at capacity against the changing needs.
- Succession planning is needed to broaden skills, experience and resilience.
- Improvements in efficiencies through a systems thinking approach.
- There are clusters of staff that are ageing and present the risk of losing skills and knowledge. The effects of losing experience needs to be addressed.
- Retaining of key skills through allocation of tasks, coaching, building knowledge and covering for each other to broaden individual skills and experience.
- Building expertise to cover future gaps.
- Encouraging networking, collaborative working, shared services and/or posts and sharing of roles across partner organisations.
- Addressing areas where work is reducing eg benefits work, customer contact work
- Changes in legislation and service provision requiring review of roles and job descriptions.
- Morale and communication issues in areas identified.
- Training staff in new legislation such as Welfare Reform, Green Deal, and the Localism Act.
- Recent changes to systems of work, legislation and frameworks resulting in new requirements and different job roles.
- Finding capacity for apprenticeships.
- Accessing funding for projects and training.

6. Workforce Development Plan : Key Actions

Immediate/Short term (1 year)		
Issue	Action	Lead/ Timescale
Identify skill gaps and raise the skill levels of our workforce	Annually through appraisals build expertise through coaching, mentoring, sharing knowledge and training in new skills.	EMT and Line Managers From January 2013
Improvements in efficiencies	Examining capacity against the changing needs. Involve staff in seeking improvements via service planning	EMT and Line Managers Annually by end of December
Managers retiring in next 5 years	We need to ensure through appraisals and divisional workforce plans that we have appropriate succession planning mechanisms in place to ensure we can fill the gaps created by losing a high proportion of our managerial expertise.	EMT & HR Manager From January 2013
Ageing workforce / lack of resilience	Promote sharing of knowledge and skills to build resilience and be able to fill gaps if older staff leave / other staff are absent	EMT, Line Managers & HR Ongoing
Reduce desk space	Promote flexible working including home working	EMT From January 2013
Improve the application of introduction to employment for our employees	Ensure corporate induction is run at least biannually. Monitor service inductions, probations and supported introduction to employment processes	HR Ongoing
Accessing Funding for training and development opportunities	Explore opportunities to get additional funding for training and development	EMT, HR and Line Managers Ongoing
Collaborative working to increase efficiencies and/or make savings	Work with partners to design models that meet the business needs	EMT, HR and Line Managers Ongoing

Medium term (1-3 years)		
Issue	Action	Lead/ Timescale
Increasing Numbers of young people in the Council	Finding capacity and resource to increase apprenticeships	EMT & HR M'ger From January 2013
Managers retiring in next 5 years	We need to ensure we have appropriate succession planning mechanisms in place to ensure we can fill the gaps created by losing a high proportion of our managerial expertise.	EMT & HR Manager From January 2013
Preparing for new ways of working	We need to define more closely what these will be, but they are likely to include: <ul style="list-style-type: none"> • co-located services (with partner agencies) with generically skilled front line staff • more mobile and home working • more flexible working options • more use of ICT to support new ways of working • increased working in joint teams with partners 	Extended Management Team From January 2013
Changes in Legislation	<ul style="list-style-type: none"> • Plan for new ways of working addressing decreases and increases in workload • Plan for changes in new requirements • Train staff to be ready for the changes 	EMT, HR and Line Managers From January 2013

Long term (3 years+)		
Issue	Action	Lead/ Timescale
Managing an ageing workforce	<p>This could include:</p> <ul style="list-style-type: none"> • increased demand for occupational health services, particularly in relation to disability; • increased demand for flexible/part time working, particularly with the option for flexible retirement 	EMT & HR Manager
Developing a more generically skilled workforce	<p>To support the changing demands of our customers and changes in the design of the delivery of services. This will include job re-design and roles based increasingly on competencies rather than professional qualifications where appropriate.</p>	EMT & HR Manager

7. Known Skills Gaps/Shortages

7.1 The following specific skills gaps/shortages have been identified:

Skills gaps/shortages	
Managerial	<p>Although the general skill level of our managers is high (based on information collated from 360° feedback) there is a need to continually work to ensure our leaders have the necessary skills to deal with changes in the future workforce and ways of working. In particular:</p> <ul style="list-style-type: none"> • flexible working arrangements • technological changes • increased project working • increased partnership working • procurement and commercial skills
Generic Skills	<p>In particular</p> <ul style="list-style-type: none"> • Improved essential skills such as literacy and numeracy, communications and ICT • Understanding of equalities and diversity • Customer care

7.2 Action being taken to address skills shortages

- In house training to develop existing staff.
- Use of external expertise, including partner organisations to deliver training.
- Joint Working

- Reduced reliance on casual staff
- Work placements.
- Attending career events.
- Engaging employees to identify new ways of working, continuous improvement and organisational change

7.3 Further action required

Action	Lead/ Timescale
Ensure that the HR Strategy Action Plan is implemented and monitored through the HR Group	HR Group: Chief Exec, Deputy Chief Executive, AD Finance & HR and HR Manager. Ongoing
Ensure that the HR and workforce planning elements of business plans are robust with support for workforce planning provided by HR	HR Group: Chief Exec, Deputy Chief Executive, AD Finance & HR and HR Manager. From April 2010
Tailor learning and development opportunities to meet individual needs within the context of achieving the Council's performance objectives	HR Ongoing
Continue to progress E learning	EMT and HR Manager Ongoing
Continue to source leadership and management programmes at all levels that will enable managers to further improve their people skills	HR Ongoing
Continue to work with partners to acquire cost effective training at all levels	HR Ongoing

8 Conclusions

- 8.1 The way we all work has changed dramatically from how we worked 10-15 years ago. Few could have predicted the breadth and pace of change we have experienced and there is little to indicate that the pace of change will slow down. It is therefore a huge challenge to plan and prepare for the workforce of the future.
- 8.2 However we can capitalise on the anticipated changes by using them to shape the workforce of the future. For example, developments in new technology will have a huge impact on how people work and learn. There will be many exciting

opportunities to work more effectively and efficiently whilst protecting work life balance and enhancing flexibility and job satisfaction.

- 8.3 Because of the rapid pace of change this plan will be kept under regular review by the HR Group and further developed as part of the annual business planning process.