

# Recruitment and Selection Policy and Handbook



Scottish Information  
Commissioner



# Contents

<b>Policy Statement</b> .....	<b>5</b>
Purpose .....	5
Scope .....	5
Core principles.....	5
Equal opportunities .....	6
<b>Pre-employment checks</b> .....	<b>6</b>
<b>Basic Criminal Records Check</b> .....	<b>6</b>
<b>Preparation for recruitment</b> .....	<b>8</b>
Roles and responsibilities .....	8
Timescales.....	9
Prepare recruitment action plan .....	9
Advertising .....	10
Application pack.....	12
Recruitment monitoring spreadsheet.....	14
Public folder .....	15
<b>The application process</b> .....	<b>15</b>
Roles and responsibilities .....	16
Sending application packs .....	16
Receiving applications .....	16
Processing applications .....	16
Responding to enquiries about the post.....	17
Closing date.....	17
<b>Short listing</b> .....	<b>18</b>
Roles and responsibilities .....	18
Preparation for the Selection Panel.....	18
Criteria checklist.....	19
Applicant assessment form .....	19
Short listing .....	20
Set interview questions and exercise .....	20
Successful applicants – Invitation to interview.....	21

Unsuccessful applicants.....	21
<b>Interviews and selection .....</b>	<b>23</b>
Roles and responsibilities .....	23
Preparation for interviews .....	23
Interview day.....	25
Right to Work in the UK checks.....	25
The interview .....	26
Selection .....	27
Unsuccessful candidates (following interview) .....	28
<b>Recruitment documents.....</b>	<b>29</b>
<b>Appointment procedure .....</b>	<b>30</b>
Roles and responsibilities .....	30
FAM checklist .....	30
Equal opportunities monitoring forms (EOMFs).....	31
<b>Induction.....</b>	<b>32</b>
Roles and responsibilities .....	32
<b>Data Protection .....</b>	<b>33</b>
<b>Records Management guidance.....</b>	<b>34</b>
<b>Appendix 1 .....</b>	<b>37</b>
Guidance on the creation of job descriptions and person specification.....	37
Job description.....	37
Person specification.....	37
<b>Document control sheet.....</b>	<b>39</b>

## Policy Statement

---

### Purpose

1. The Scottish Information Commissioner (the SIC) recognises that our staff are fundamental to our success and, therefore, we need to be able to attract and retain staff with the necessary skills and attributes to enable us to fulfil our organisational objectives. A strategic, professional approach to recruitment is essential to achieve this.
2. The purpose of this policy is to provide a sound framework for the recruitment of staff based on the principles outlined below. These principles also meet the requirements of the SIC's Equality Policy, the Equality Act 2010 and all other relevant employment legislation.

### Scope

3. This policy and the accompanying procedures cover all activities that form part of the recruitment process. It is the responsibility of the HOCS to ensure anyone involved in any aspect of the recruitment and/or induction of staff is aware of this document and follows it.

### Core principles

4. We will:
  - (i) Ensure our recruitment policies and practices are fair and open.
  - (ii) Seek to recruit the best candidate for the job based on merit.
  - (iii) Support the recruitment of staff with disabilities and make reasonable adjustments to all stages of the recruitment process and as required in order for a successful candidate with a disability to undertake the post.
  - (iv) Ensure that the recruitment of staff is conducted in a professional, timely and responsive manner and in compliance with current employment legislation.
  - (v) Provide appropriate training, development and support to those involved in recruitment and selection.
  - (vi) Treat all candidates fairly, equitably and efficiently, with respect and courtesy and aim to ensure the candidates' experience is a positive one, irrespective of the outcome.
  - (vii) Seek to apply best practice in recruitment and review and develop our practices regularly.
  - (viii) Ensure that our recruitment process is cost effective.
  - (ix) Treat all documentation relating to applicants confidentially in accordance with the Data Protection Policy, the SIC's Information and Records Management (IRM) Policy and File Plan and Retention Schedule.
  - (x) Require any member of staff involved in the recruitment process who has a close personal relationship with an applicant to declare this as soon as possible and avoid any involvement in the recruitment and decision-making process.
  - (xi) Support newly-appointed staff through a planned and comprehensive induction plan, and support from colleagues and line manager.

- (xii) Ensure unsuccessful candidates receive written notification of the outcome of the selection process and are offered feedback.

## **Equal opportunities**

5. In order to comply with the requirements of the SIC's Equality Policy, the Equality Act 2010 and all other relevant employment legislation as stated above, the following measures are in place:
- (i) When short listing, the members of the SP have no access to information about the candidates which might allow them to discriminate against any candidate on the basis of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation .
  - (ii) All applicants who have been asked to attend the office for interview are offered assistance if we are made aware that they have additional support needs such as a sighted guide or sign language interpreter.
  - (iii) The SIC asks all applicants to provide information (in confidence) on a separate anonymous Equal Opportunities Monitoring Form (EOMF) about their gender, age, race, disability and religion in order that a monitoring report can be compiled following every recruitment procedure, showing the aggregated data for all applicants and for short listed applicants. The SIC also produces a similar monitoring report for her workforce. The SMT reviews the monitoring reports to identify whether there is evidence of bias in the recruitment process. If such bias is found, the SMT will consider positive action to reduce this risk in future recruitment.
  - (iv) The EOMFs are not made available to the SMT or the interview panel in advance of an interview and are destroyed securely once the information has been lifted from the forms and the reports prepared.

## **Pre-employment checks**

---

6. An applicant who is successful at interview and who receives a conditional offer of employment must successfully complete pre-employment checks to progress to a final offer of employment.
7. The pre-employment checks will include:
- References
  - Basic Criminal Records check and
  - Security clearance - security clearance is required for all posts
8. The Commissioner can only make a formal offer of employment once the pre-employment checks process is complete and satisfactory assessments of the checks have been obtained.

### **Basic Criminal Records Check**

9. If an applicant is successful at interview and a conditional offer of employment is made, the applicant must apply for a Basic Criminal Records check via Disclosure Scotland (the applicant will be expected to obtain this and that there is a cost for the certificate. Current charges and other information on Disclosure certificates can be found at the Disclosure Bureau's website [www.disclosurescotland.co.uk](http://www.disclosurescotland.co.uk));

## **Assessment of the results of the basic criminal records check**

10. In determining whether an unspent criminal record is relevant and would lead to withdrawal of a conditional offer of employment on the basis that the assessment of this pre-employment check is unsatisfactory, the unspent criminal record will be assessed in relation to the tasks which need to be performed and the circumstances in which the work is to be carried out. Relevant considerations which we will take into account in reaching our assessment include:
  - (i) the nature of the offence (eg fraud, violence, and sexual offences), and its relevance to the position, given that the role includes access to funding, work with the public and teamwork, but does not require a driving licence
  - (ii) the seriousness of the conviction
  - (iii) the age of the conviction
11. The circumstances of the offence may also be relevant, and linked to that, any pattern of offending and changed circumstances

## **Security Vetting**

12. All staff employed by the Commissioner have to undergo security vetting and there is a Security Vetting Policy and Procedure (VC84993).
13. If an applicant is successful at interview and a conditional offer of employment is made, the applicant will be asked to complete a security clearance form which will be processed by the Scottish Parliament's Security Office on behalf of the Commissioner. The Scottish Parliament operates a system of security vetting in line with the programme of national vetting used by all central Government Departments, Agencies and Devolved Administrations.
14. Once the security clearance check has been completed, the outcome will be communicated to the applicant and the HOCS. If satisfactory security clearance is not obtained the conditional offer of employment will be withdrawn.

## **References**

15. If an applicant is successful at interview and a conditional offer of employment is made, the applicant will be asked you to provide the names of two referees, one of which should be their most recent employer.
16. The references will be assessed by the Head of Corporate Services who will advise the Commissioner as to whether they are satisfactory. If satisfactory references are not provided the conditional offer of employment will be withdrawn.

## Preparation for recruitment

### Roles and responsibilities

Title	Responsibility	Action
<b>Selection Panel (SP)</b> (at least one member of which will be a member of the SMT)	Selection Panel	The SMT member of the SP is the responsible person appointed to coordinate the process, liaise with staff involved in the process and ensure it is carried out fairly
	Agree timescales	Based on the table at <a href="#">paragraph 8</a> determine the anticipated interview and offer of appointment dates
	Content of application pack	Agree the content of the pack which will be sent to applicants and advise CST
	Interview exercise	Agree if an interview exercise is required
	Recruitment action plan	Approve plan as prepared by CST
	Terms & conditions of employment	Review and approve submissions from FAM (Summary and Main)
<b>Finance &amp; Administration Manager (FAM)</b>	Recruitment and equality policies	Ensure any relevant recruitment and equalities policies and procedures are up to date and compliant with relevant legislation/regulations
	Terms & conditions of employment	Review T&Cs (Summary and Main) and submit to HOCS for approval
<b>CST</b>	Recruitment action plan	Prepare the recruitment action plan including timescales, for approval by the SP
	Job advertisement	Establish costs of placing adverts in the press / online job sites / job centres as directed by SMT Place the job advertisement as determined by the SMT.
	Application form	Ensure form is up to date Complete section on <i>essential and desirable personal characteristics and competencies</i> to align with selection criteria
	Equal opportunities monitoring form (EOMF)	Prepare form for inclusion in the application pack
	Recruitment monitoring spreadsheet	Set up a Recruitment Monitoring Spreadsheet in VC, restricting access to Administrators only
	Set up Public Folder	Folder will hold applications received by email and access is restricted to Administrator and FAMs.
	Application packs	Coordinate the preparation of the application packs in accordance with specification of the SP



## Timescales

17. Once the decision has been made to carry out recruitment the timescales should be agreed by the SP.
18. The table below gives an indication of the usual timescales required for the recruitment process. These timescales are subject to there being sufficient staff resource available to carry out the recruitment and this should be taken into account when setting the recruitment timetable.

Stage in process	Time allowed
Preparation for recruitment (including placing advertising)	2 weeks
Period from advertisement to closing date	2 weeks
Short listing and invitation to interview letters sent out	1-2 week
Interview	1 week
Decision re appointment and verbal offer of appointment	1 week
<b>USUAL TIME REQUIRED</b>	<b>8 weeks</b>

19. If second interviews are required, extend timescales by the anticipated time it will take to organise and hold those interviews.

### Prepare recruitment action plan

20. Once the timescales have been agreed a recruitment action plan should be prepared by CST using the VC template and saved in accordance with the guidance in the records management section.
21. Previous action plans in VC can be referred to for guidance.
22. The action plan should detail the individual actions required in date order starting at week 1, who is responsible for carrying out the actions and the required completion date.

## Example

### Recruitment Action Plan – Administrator (CST) Grade 2 (Permanent Contract)

WEEK 1 (w/b 17/09/18) – Job Advertisement going live Friday 21 September 2018					
What	VC No.	Who	Details	Date for Completion	Date Completed
Job Advertisement	107218 (PDF)	SP (SMT member, HGS)	Agree wording of advert taking into account guidance in RPH, pages 15, 16 & 31	19/09/18	19/09/18
Person Specification / Job Description	104309 (PDF)	SP (SMT member,) (HGS)	Prepare Person Specification taking into account guidance in RPH pages 13, 14 & 32 ( <u>should include Selection Criteria</u> , see page 14)	19/09/18	19/09/18
Application Form	107216 (Word)	KB/LB/HGS	Complete section on essential and desirable personal characteristics and competencies to align with Selection Criteria in Person Specification	19/09/18	19/09/18
Summary Terms & Conditions of Employment	107214 (PDF)	KB/HGS	Review and update as required	19/09/18	19/09/18
Equal Opportunity Monitoring Form	VC Template	KB	Check to ensure up to date	19/09/18	19/09/18
Recruitment Monitoring Spreadsheet	107596	KB	Set up spreadsheet, see page 17 of RPH, access restricted to CST	19/09/18	21/09/18
Public folder		KB	Set up subfolder in Public folders, access restricted to KB/LB	19/09/18	21/09/18
Selection Panel (TBC)		KB	Update diaries of SP members for shortlisting and interview dates	21/09/18	21/09/18
Place advertisement in selected media		KB	KB to put in place by 12/10/18	21/09/18	21/09/18
Website		PM/LB	Prepare recruitment page on website. LM add button to front	21/09/18	21/09/18

23. Once the recruitment action plan has been completed a meeting should be arranged with CST and the SP to review and agree the plan.
24. Following agreement each staff member involved in the recruitment process should ensure that they monitor the recruitment action plan, complete any actions required and update the plan.

## Advertising

25. All jobs will be advertised on the basis of fair competition.
26. Generally, jobs will be advertised externally but there may be operational reasons why the SMT decides it appropriate to first advertise a job internally.
27. These reasons could include, for example:
  - (i) To support staff development and progression
  - (ii) Where the appointment is temporary (e.g. maternity cover)
  - (iii) Where new organisational structures and procedures are piloted with a view to informing potential permanent changes.
28. If no suitable internal candidate is appointed, the job will be advertised externally.
29. Irrespective of how and where a job is advertised, absent staff (e.g. illness, maternity, career break etc.) will be informed to give them the opportunity to apply.

### *Jobs advertised externally*

30. The SMT should advise CST of the preferred media they wish to use for advertising e.g. local press, national press, on-line advertising, Job Centre, external websites.

31. CST will establish costs of advertising in the preferred media (the text of the advertisement is not required in order to obtain quotes).
32. This should include details of:-
  - (i) Cost for online only advertising
  - (ii) Cost for printed media only advertising
  - (iii) Cost for online and printed advertisement
  - (iv) Lead times/deadlines for publication
  - (v) Size of advertisement including word count
  - (vi) Can online advertising be directed to our website only for application pack
33. A summary of the costs for each advertising media and contact details for the companies should be saved to VC in line with the guidance in the records management section.
34. The SMT member of the SP should be notified and SMT/SP will decide where advertisements will be placed.

*Preparing the advertisement*

35. The SMT/SP will agree the form, style and wording of the advertisement.
36. The advertisement should be created as a Word document and saved to VC in accordance with the guidance in the records management section.
37. The advertisement should be VI compliant and include:-
  - (i) Job title
  - (ii) Hours of work
  - (iii) Salary
  - (iv) Key duties and responsibilities
  - (v) Skills, qualifications and experience required
  - (vi) Statement that the organisation is an equal opportunities employer
  - (vii) Applications on standard application form only
  - (viii) State that candidates will be asked to complete an equal opportunities monitoring form
  - (ix) Closing date and time for receipt of applications
  - (x) Proposed interview timescales or specific dates
38. Adverts placed in external media should direct applicants to the recruitment pages on the SIC's website where an application pack will be available to download, or to contact the main office to be sent an application pack by post.
39. The same text should generally be used for all media, including the SIC website and should include the minimum necessary requirements.

### *Placing advertising*

40. Following production of the advertisement in house, CST will arrange for placement/publication including the necessary layout, style and proofing.
41. A proposed proof of the advertisement should be supplied to CST by the chosen publications/websites prior to publication.
42. The SMT member of the SP should be asked to review and approve the advertisement before final placement is confirmed.
43. Any job advertised externally will be published on the SIC's [website](#) as a matter of course and CST will ensure it is uploaded on the same day that the advertisement appears in other agreed media.
44. The application pack documents should also be uploaded to the job vacancies page of the website when the advertisement is published.
45. There should be a link on the homepage to the advertisement and the P&I team can provide assistance with placing a 'button' on the homepage.

### **Application pack**

46. The application pack should contain:-
  - (i) Job description and person specification
  - (ii) Application form
  - (iii) Equal opportunities monitoring form
  - (iv) Summary of terms and conditions of employment
  - (v) Additional information as appropriate

### *Job description and person specification*

47. The job description should cover the main purpose of the post, the main tasks and responsibilities involved
48. The person specification should describe the skills, knowledge, abilities, qualifications, experience and qualities that are considered essential or desirable in a candidate, in order to perform all the duties in the job description satisfactorily.
49. The job description and person specification must be free from any indications of unlawful discrimination and guidance on this is set out at [Appendix 1](#) for further information. If in doubt, advice should be sought from the HOCS.
50. Existing template job descriptions and person specifications in VC should be used as the template and amended as required. The finalised document should be saved to VC in accordance with the guidance in the records management section.

51. When preparing the job description and person specification give consideration to:-

Consider the following:	Suggested detail
Job	Job title
Hours	Full time / part time / job share
Salary	Full and pro rata salary if appropriate
Reports to	Line management
Background	Information regarding the organisation and team
Purpose of job	Specific to this particular post
Responsibilities	The main duties of the role including details of any line management responsibility. Include <i>“The above list of duties is not exhaustive and is subject to change. The post holder may be required to undertake others duties within the scope and grading of the post.”</i>
Person specification	Describe experience required for the post.  List the essential and desirable personal characteristics and competences. These will be derived from the responsibilities and experience text.  The essential and desirable personal characteristics and competences will form the selection criteria.
Discrimination	Ensure all requirements can be objectively justified and do not discriminate either directly or indirectly against anyone.
Location of the post	St Andrews
Pre-employment checks	List and give details re: <ul style="list-style-type: none"> <li>• Identity</li> <li>• Nationality and immigration status</li> <li>• Employment history (past 3 years)</li> <li>• References</li> <li>• Basic criminal records check via Disclosure Scotland</li> <li>• Security vetting</li> </ul>
Closing date and time for applications	Normally midday on the chosen date
Staff contact details	For enquiries and further information

#### Application form

52. A template application form is available in VC. This should be saved to VC in accordance with the records management guidance section.

53. The application form should be updated by CST with:-

- (i) Part A – add closing time, day and date
- (ii) Part B – Populate each of the box headings in the Essential and Desirable Personal Characteristics and Behaviours/Competences section using the Job description and person specification for reference.

#### *Equal opportunities monitoring form (EOMF)*

- 54. A template EOMF is available in VC.
- 55. To prepare the form for inclusion with the application pack add the job title to the form and save as a MS Word document in VC in accordance with the records management guidance.
- 56. When the post is advertised the MS Word version of the form should be uploaded to SIC website.

#### *Terms and conditions of employment (summary and main)*

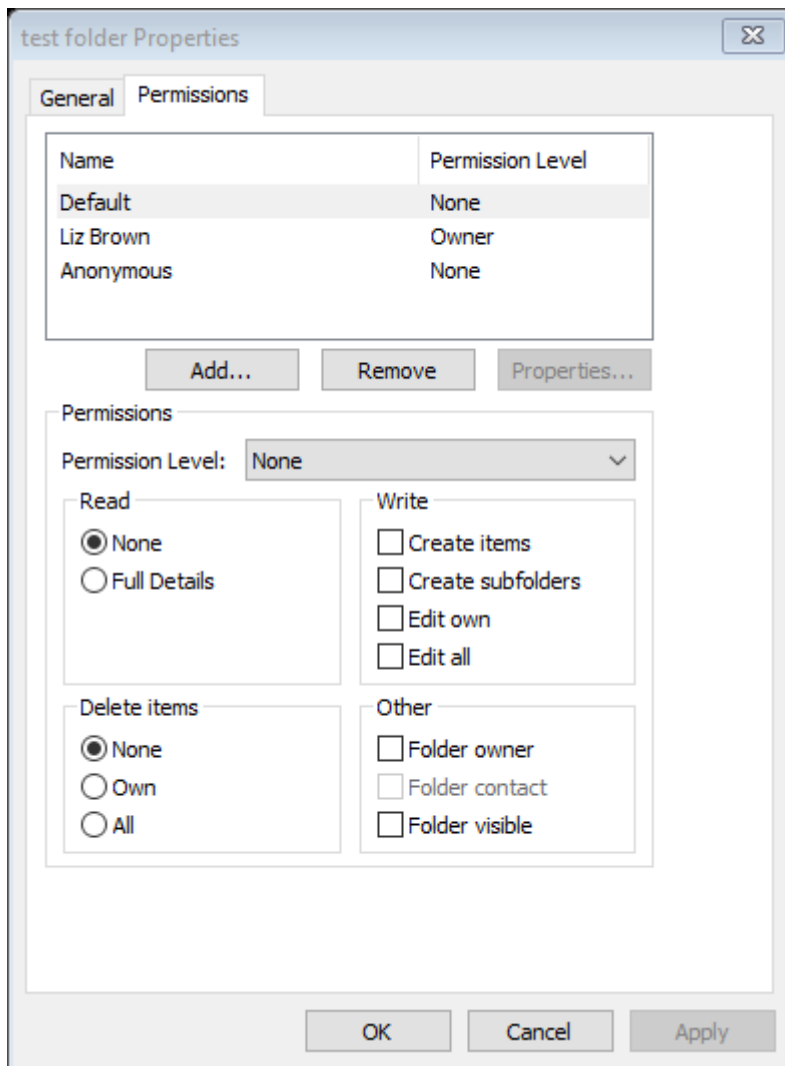
- 57. The template documents are available in VC and should be saved following the records management guidance section.
- 58. The SMT/SP will provide the necessary information to the FAM to allow creation of the documents.
- 59. The information required is:
  - (i) Job title
  - (ii) Salary grade/scale
  - (iii) Starting point of scale
  - (iv) Hours of work
  - (v) Period of notice required
- 60. Using the above information the FAM will calculate the starting salary and holiday entitlement, pro-rata if required.
- 61. The terms and conditions documents (summary and main) must be approved by the HOCS.
- 62. The completed summary terms and conditions document is issued with the application pack.
- 63. The main terms and conditions document will be used by FAM when the successful candidate has been appointed.

#### **Recruitment monitoring spreadsheet**

- 64. CST will set up a recruitment monitoring spreadsheet from the VC template to record and monitor the process of receiving applications.
- 65. Save the document to VC in accordance with the guidance in the records management section below.
- 66. This restricts access to the Administrator and the FAMs only.
- 67. The various tabs should be completed at the appropriate stage in the applications/recruitment process. Column headings on each tab indicate the information required.

## Public folder

68. Administrators will create a public folder within Outlook to hold application forms received by email.
69. Access to the folder should be restricted to Administrators and FAM only.
  - Create a new folder
  - Right click on the folder and select Properties
  - Permissions tab
  - Add the individuals that need to access the folder
  - **Ensure you change the 'Default' & 'Anonymous' permission level to 'None' and untick the 'Folder visible' box**
  - Apply and OK



## The application process

## Roles and responsibilities

Title	Responsibility	Action
CST	Application packs	Send out application packs Maintain full records of packs sent out.
	Applications received	Maintain full records of applications received. Prepare applications for the short-listing
	Advertising	Ensure all advertising is removed following closing date e.g. SIC website, S1Job etc.
SMT member of SP	Respond to enquiries about the post	Information regarding the job content and requirements
Head of Corporate Services (HOCS)	Respond to enquiries about the post	Information regarding the recruitment process and terms and conditions

### Sending application packs

70. Although the recruitment pack is available on SIC's website we may receive requests for an application pack by email or telephone.
71. The pack should be sent out to the requester by post and the recruitment monitoring spreadsheet updated.

### Receiving applications

72. Applications must be processed in accordance with data protection requirements .
73. Applications will be accepted by email (into the Enquiries inbox), post or delivery by hand. In exceptional circumstances a faxed copy may be accepted on the proviso that the hard copy is received the following day (i.e. sent by special delivery).
74. If not already signed, applicants attending for interview will be asked by CST to sign their application form.
75. CST handle all applications at this stage.
76. Throughout the recruitment process all application forms received should be held securely in the locked cupboard in Bell.
77. The EOMFs should be separated from the application form and held securely in an envelope in the locked cupboard in Bell until the closing date. After the closing date pass them to a FAM
78. Applications received by email should be moved on receipt to the public folder created for this purpose
79. Applicants are advised on the application form that evidence of emailing an application does not guarantee that it has been received by us until they receive an acknowledgement. An acknowledgement must be sent for all applications received.

### Processing applications



80. Enter applicant details on to the recruitment monitoring spreadsheet on the 'Applicants' tab, allocating each application a unique reference number.
81. Print any applications received by email.
82. Write the reference number on all pages of the application forms.
83. Remove the front 'personal information' page (Part A) and the 'declaration page'.
84. Copy the remaining pages for each member of the SP.
85. Put the original application form back together and hold securely and separately from the copies.

### **Responding to enquiries about the post**

86. Enquiries should be directed as follows:
  - (i) information regarding the job content and requirements: the SMT member of the SP
  - (ii) information regarding the recruitment process and terms & conditions: the HOCS
87. No informal discussions will be entered into regarding the suitability of the enquirer for the post.

### **Closing date**

88. The job advertisement will detail the closing date and time. The time is normally midday on the closing date.
89. On occasions we may receive an application after the closing time. For example an applicant may email an application to us just before the closing time but it may take several minutes to be delivered.
90. In these instances it is at the discretion of the SMT member of the SP whether the application will be accepted.
91. After the closing date CST will remove the job advertisement from all websites where it was advertised e.g. SIC website, S1job etc. and ensure that the advertisement has been removed from websites that are not self-managed e.g. Scottish Legal News.

## Short listing

### Roles and responsibilities

Title	Responsibility	Action
Selection Panel (SP)	Short listing	Review applications and short list applicants to be called for interview
		Notify CST of those short listed for interview and those not being called
	Interview exercise	Agree format of exercise and when it will take place (before, during or after interview). Advise CST to allow details to be added to invitation to interview letter.
	Set interview questions and scoring sheet	Provide information to CST to set up Interview Scoring Sheet for use at interview Advise CST which member of the SP will ask each question
	Interview / exercise logistics	Advise CST of requirements for interview / exercise e.g. materials, location, timing, IT requirements.
CST	Short listing	Prepare applications for the short-listing meeting
	Shortlist evaluation materials	Prepare a criteria checklist and applicant assessment forms (template in VC) for SP
	Invitation to interview	FAM to prepare, sign and send letter/email to applicants being invited to interview. Add interviews to SP diaries
	Notification to unsuccessful applicants	FAM to prepare, sign and send letter/email to unsuccessful applicants.
	Recruitment monitoring spreadsheet	Update spreadsheet with details of applicants invited to interview and who were unsuccessful

### Preparation for the Selection Panel

92. Once the closing date has passed CST should prepare short listing packs for each member of the SP.
93. Each pack consists of:-
- (i) The application forms – prepared in accordance with the instructions [above](#).
  - (ii) A criteria checklist
  - (iii) Applicant assessment form
  - (iv) Job description and person specification

## **Criteria checklist**

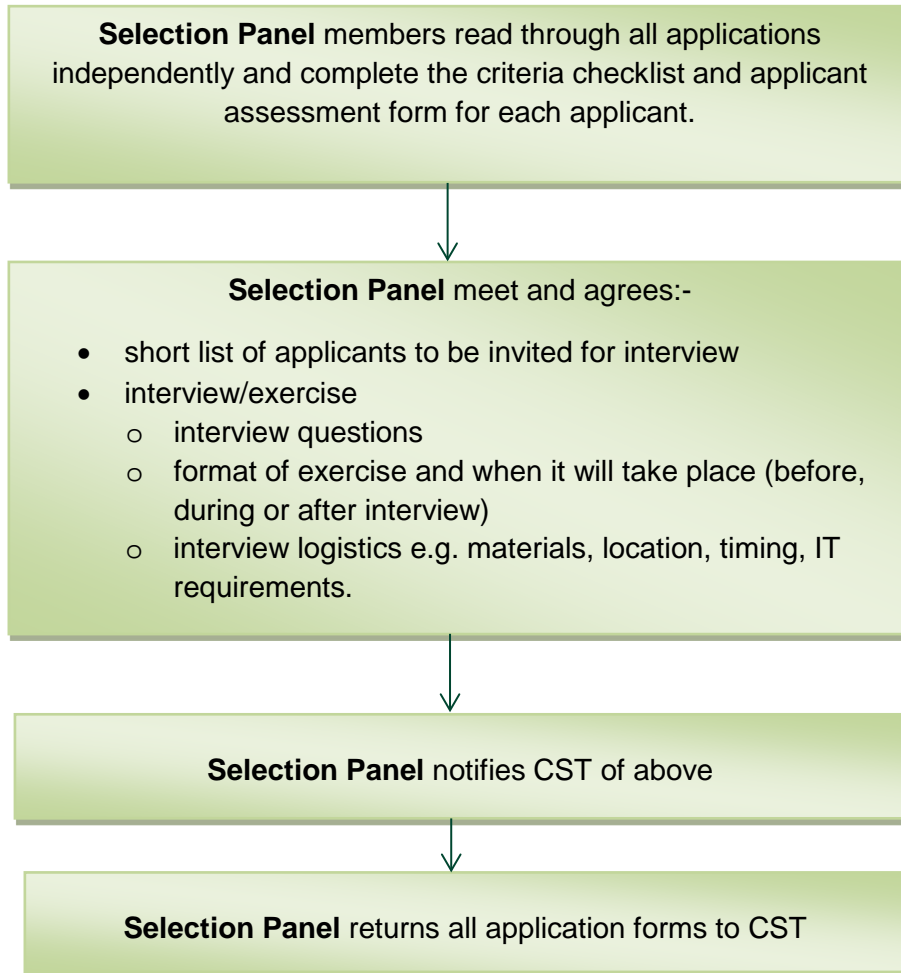
94. Selection criteria consist of all essential and desirable characteristics against which an applicant will be short listed.
95. CST will create a new document from the VC template and save to VC in accordance with the guidance in the records management section.
96. CST will populate the VC template, completing the essential and desirable characteristics, lifting these directly from the job description and person specification document.
97. There should be nothing on the criteria checklist which is not detailed on the job description and person specification document being sent out to potential applicants.
98. If there are more than 18 applicants, simply change the column headers, 19-36 etc.

## **Applicant assessment form**

99. Open the VC template and add the name of the job. Print sufficient forms - each member of the SP should get a form for each application.
100. Write the application reference number on each form and the SP members name and attach this to the application form.
101. Once complete distribute the short listing packs to each member of the SP.

## Short listing

102.



## Set interview questions and exercise

103. In addition the SP should establish:-

- (i) Interview questions
- (ii) Member of SP who will ask each question
- (iii) Points available for each question
- (iv) Is there any specific attribute required
- (v) Whether any presentation or exercise is required, if so:-
  - (a) Format of presentation/exercise
  - (b) Time allowed
  - (c) Information given to candidate to allow preparation, if any
- (vi) Requirement for interview room and exercise room, if required

104. This information should be passed to CST who will prepare the interview scoring sheet for the interview packs.

## **Successful applicants – Invitation to interview**

105. The FAM will prepare the invitation to interview letters/email using the VC template . This does not need to be saved to VC.
106. The letter/email should be updated to include:-
- (i) Name, address and salutation
  - (ii) date of issue
  - (iii) date and time of interview
  - (iv) details of the format the interview will take e.g. presentation/exercise/formal interview
  - (v) request to bring evidence of qualifications to interview
  - (vi) request to provide evidence of right to work in the UK
  - (vii) request to inform CST as soon as possible of any additional support needs e.g. sign language interpreter, hearing induction loop.
107. Print two copies if a letter is sent, otherwise keep a copy of the emails in the public folder
- Copy for issue to the applicant
  - Copy for SIC records
108. Enclosures to send with letter/email:
- (i) Location map of the office - use vc6351
  - (ii) VC template - List of acceptable documents for right to work in the UK
    - Check that the list is up to date. See An employer's guide to acceptable right to work documents on website  
<https://www.gov.uk/government/publications/acceptable-right-to-work-documents-an-employers-guide>
109. CST will update the recruitment monitoring spreadsheet with details of those invited to interview and details of the interview timetable.
110. The SP diaries should be updated with the proposed interview for each candidate ensuring that Alexander is also booked for the duration of the interviews.

## **Unsuccessful applicants**

111. The FAM will prepare and send letters to unsuccessful applicants using the VC template. This does not need to be saved to VC.
112. The letter/email should be updated to include:-
- (i) Name, address and salutation
  - (ii) Date of issue
113. The FAM will ask the SMT member of the SP to review and approve the wording of the letter before issue
114. Print two copies if a letter is sent, otherwise keep a copy of the emails in the public folder

- Copy for issue to the unsuccessful applicant
- Copy of SIC records

115. CST will update the recruitment monitoring spreadsheet with details of those applicants who were unsuccessful.

## Interviews and selection

### Roles and responsibilities

Title	Responsibility	Action
<b>Commissioner</b>	Successful candidate	Authorise appointment of successful candidate
<b>Selection Panel (SP)</b>	Interviews	Interview candidates  Determine if second interviews are required and notify the Administrators if so
	Selection	Select/recommend to the Commissioner the best candidate for the post  Notify the HOCS, FAM and Administrators of the decision  Sign letter prepared by FAM to successful candidate
	Feedback to unsuccessful candidates	SMT member of SP will provide feedback to unsuccessful short-listed candidates, ensuring equal opportunities requirements are followed.
	Notification to unsuccessful candidate (following interview)	SMT member of SP to sign letter(s) prepared by Administrators to unsuccessful candidates
<b>Finance &amp; Administration Manager (FAM)</b>	Right to work checks	The FAM will carry out the Right to Work in the UK checks with each candidate
	Notification to successful candidate	Prepare letter to successful candidate.
<b>Administrators</b>	Interview evaluation materials	Prepare interview scoring sheet and timetable for SP plus any other requirements for the interview
	Interview preparation	Prepare interview room and test room, if required as specified by the SP
	Notification to unsuccessful candidate (following interview)	Prepare letter(s) to unsuccessful candidates for signature by the SMT member of the SP  Post letters once signed  Update recruitment monitoring spreadsheet

### Preparation for interviews

#### *Interview packs*

116. The Administration will prepare an interview pack for each member of the SP. Each pack contains:-

- (i) Interview timetable (from the recruitment monitoring spreadsheet)
- (ii) Application forms (use the ones previously photocopied, add the front and back sheets)

- (iii) Interview scoring sheet which incorporates the interview questions - from VC

*Interview scoring sheet*

117. Administrators will create a new document using the VC template Interview Scoring Sheet and save following the records management guidance.

118. Complete the information on the form:-

- (i) Post
- (ii) Date (of interview)
- (iii) Interviewers
- (iv) Update each of the questions with the information provided by the SP:-
  - (a) Question
  - (b) Who (will ask the question)
  - (c) Points for – is there any specific attribute required
  - (d) Points available

e.g.

	Questions	Who	Points for:	Points available	Points awarded
2	Thinking about your past employment, which was the best job you've ever had? <ul style="list-style-type: none"> <li>• What was it about that job that you liked so much? What didn't you like about it?</li> <li>• What kind of organisation do you think OSIC would be to work for?</li> </ul>	SP	Autonomy / taking responsibility Developing the role Problem solving Team working Self development Enthusiasm for working in OSIC	10	

119. If a written test or presentation is required complete the assessment section of the form.

120. Print one form per candidate for each member of the SP and write the candidates name on each form.

*Interview room set-up*

121. The interview room should be set up as follows:

- (i) Set-up room/table to required format as advised by the SP
- (ii) Set up screen/projector/laptop if required
- (iii) Jugs of water and glasses for SP and candidates

*Test room set-up*

122. The test room should be set-up as follows:

- (i) Set-up room/table to required format as advised by the SP
- (ii) Laptop
- (iii) Exercise details



- (iv) Stationery
- (v) Copy of FOISA, explanatory notes and EIRs

### **Interview day**

123. Administrators will:-

- (i) Meet and greet candidates
- (ii) Seat candidate in waiting area
- (iii) Inform FAM candidate has arrived.

124. FAM will:

- (i) Request evidence of qualifications, check against those declared on the application form and check the name on the certificates is the same as the applicant
- (ii) Request sight of document evidencing right to work in the UK. See guidance [below](#) for instructions on checking documentation and completing the Employer Checklist
- (iii) Return documentation to candidate
- (iv) Inform SP candidate has arrived.

125. If a test is being carried out, Administrators will:

- (i) Ensure everything necessary for the test is available for each candidate
- (ii) Ensure there is a clean memory stick available
- (iii) Ensure laptop is clear of any data
- (iv) Take candidate through to test room
- (v) Provide test details to candidates, explain how and where to save the document
- (vi) Leave the candidate for the set time of the exercise
- (vii) Administrator to time the test and go through and notify candidate once allotted time has passed and ensure the candidate's name is on the document and the work is saved to a memory stick.
- (viii) Take candidate to waiting area and inform SP (if test is taking place before the interview. If after interview the candidate is free to go)
- (ix) Print out sufficient copies of the exercise to give to SP. Delete work from *both laptop desktop and from recycle bin*.

126. If required Administrators will organise a working lunch for SP.

### **Right to Work in the UK checks**

127. Employers have a duty to prevent illegal working in the UK by carrying out prescribed document checks on people before employing them to ensure they are lawfully allowed to work.

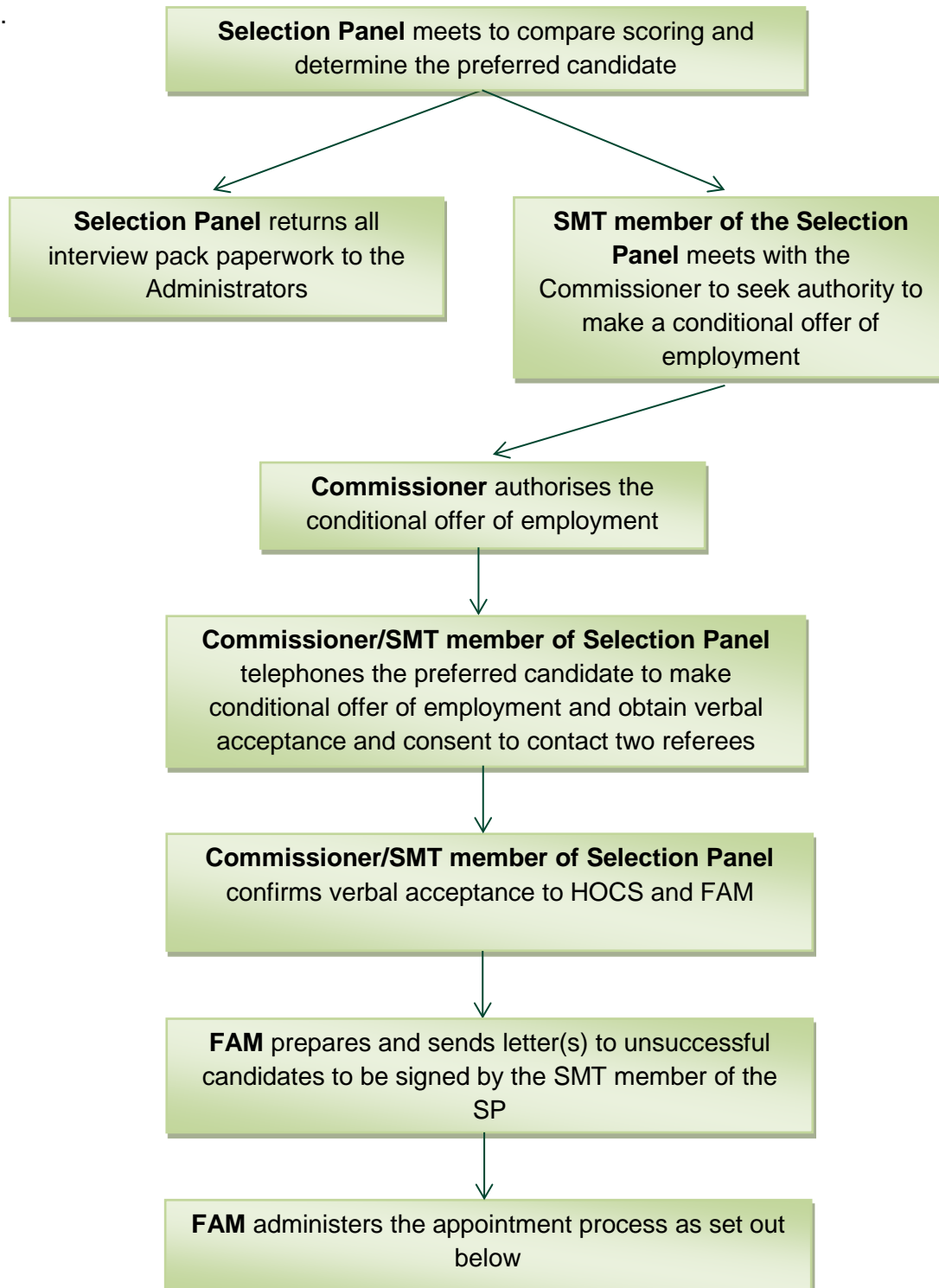
128. An Employer Guidance document is available in VC along with an Employer Checklist. Please ensure that this is the latest version of the guidance available by checking <https://www.gov.uk/government/publications/right-to-work-checks-employers-guide>.
129. A copy of the checklist should be printed out for each candidate attending for interview
130. The FAM should complete the checklist referring to the guidance as required.
131. The checks must be carried out with the candidate and copies of documents submitted as evidence taken at the time.
132. Copies taken of unsuccessful candidate's documents will be securely destroyed following interview. The copy documents of the successful candidate will be retained as part of their employee file.

### **The interview**

133. All candidates should be asked the same questions and their answers scored consistently.
134. The interview scoring sheet provided for each candidate should be used to record notes of their answers and SP impressions.
135. Avoid asking questions concerning the candidate's personal life unless directly relevant to the requirements of the job.

## Selection

136.



### **Unsuccessful candidates (following interview)**

137. The FAM will prepare and send letters to unsuccessful candidates using the VC template Letter – Unsuccessful After Interview. This does not need saved to VC rather used this as a template for each letter.
138. The letter should be updated to include:-
- (i) Name, address and salutation
  - (ii) Date of issue
  - (iii) Add name of signatory - the letter should be signed by the SMT member of the SP
139. Print two copies of the letter
- Copy for issue to the unsuccessful applicant
  - Copy of SIC records
140. FAM will update the recruitment monitoring spreadsheet with details of those applicants who were unsuccessful.

## Recruitment documents

---

141. All documents generated throughout the recruitment process must be returned to the Administrators.
- (i) Following short listing the SP must return all copies of application forms, criteria checklists, applicant assessment forms any additional notes they may have taken while assessing the applications.
  - (ii) Following interviews the SP must return all copies of application forms and interview scoring sheets to the Administrators.
142. Administrators will ensure that all paperwork is kept secure in the locked cupboard in Bell until the successful applicant has verbally accepted the job.
143. Following verbal acceptance of the job, paperwork should be dealt with as follows:
- (i) Successful candidate - original application form, applicant assessment form and interview scoring sheet should be passed to FAM for retention as part of the employees employment file.
  - (ii) Unsuccessful applicants/candidates – the original application form, applicant assessment forms, criteria checklists, interview scoring sheets and copies of letters issued to the applicants should be collated and held securely by the FAM in the HR cabinet for a period of six months before being securely destroyed.
  - (iii) All copies of application forms made for the SP should be securely destroyed immediately.
  - (iv) A diary reminder should be added to Administrators/FAM diaries for six months from the date of verbal acceptance of the post. On that date the following documents should be securely destroyed:-
    - (a) Unsuccessful applicants application forms
    - (b) Unsuccessful applicants application assessment forms
    - (c) Criteria Checklist forms
    - (d) Unsuccessful candidates interview scoring sheets
  - (v) The recruitment monitoring spreadsheet in VC should be marked for destruction.

## Appointment procedure

### Roles and responsibilities

Title	Responsibility	Action
Finance & Administration Manager (FAM)	New Employee	Follow FAM Checklist, completing each task required
	EOMF	Collate and analyse the EOMFs
	References	Obtain referees details, written consent to contact referees and references
Head of Corporate Services	References	Assessment of references and advises Commissioner whether satisfactory
Commissioner/Head of Corporate Services (HOCS)	Security vetting	Obtain security vetting clearance from SPCB for new employee
	Basic Criminal Records Check	Obtain the Disclosure Scotland basic criminal records check from the applicant, and conduct the assessment as set out in the Criminal Records Check section of this Policy
Administrators	Documents	Collating all documents for secure destruction or retention as appropriate

### FAM checklist

144. If correspondence is being sent to more than one candidate, the contents of each letter and envelope must be cross-checked by a colleague to confirm that the correct information is being sent to each recipient

Task	Requirements
All documentation should be saved to VC in accordance with the guidance in the records management section. <u>Restrict access to Management and FAM.</u>	
All documentation will be moved to the new employee's HR Admin cabinet in VC once set up.	
Conditional offer letter	Use VC template: Letter – Conditional Offer Letter
	Amend and complete as applicable
	Send to candidate
On receipt of signed acceptance	Ensure candidate has given permission to approach referees
	Request references on behalf of SIC/HOCS via email or letter
	Ensure HOCS undertakes security vetting with

	SPCB and applicant is asked to provide basic criminal records check from Disclosure Scotland
<b>On receipt of satisfactory references, satisfactory assessment of basic criminal records check and security vetting send the following to the new employee</b>	<b>Formal offer letter</b> Use VC template Letter – Formal Offer Letter
	Amend and complete as applicable
	<b>Terms &amp; conditions of employment</b> Main Terms and Conditions of Employment
	This has already been prepared and approved by SMT so should be ready for issue
	<b>Payroll set-up form</b> Use VC template and print out: NEW START - Payroll set-up form
	<b>Pensions questionnaire</b> Use VC template and print out: NEW START - Pension questionnaire (questionnaire tab)
	<b>Staff contact details form</b> Use VC template and print out: NEW START - Staff contact details form
	<b>EOMF</b> - not anonymised
	Use VC template and save to VC: NEW START - Checklist Ensure all who have actions on the checklist are aware of their roles and responsibilities.
<b>Ensure new employee is set up on relevant systems and included in necessary documents etc.</b>	

### Equal opportunities monitoring forms (EOMFs)

145. The FAM will collate information from the anonymous EOMFs, compare with the Commissioner's workforce and report finding to SMT.

146. Once the SMT has noted the report, the EOMFs will be securely destroyed.

## Induction

---

### Roles and responsibilities

Title	Responsibility	Action
Head of Department (HOD)	Induction Manual	Prepare Induction Manual for new employee
Administrators	Induction Manual	Liaise with HOD to plan and update staff diaries for induction sessions
		Send out copy of final Induction Manual to new employee before start date

147. A Model Induction Manual is available in VC and the HOD should use this to create an Induction Manual for the new employee. See the records management section for guidance on saving and naming conventions.
148. The Induction Manual contains three sections:-
- (i) Part 1 – mandatory elements
  - (ii) Part 2 – necessary for the employee to be able to do their job
  - (iii) Part 3 – role specific elements
149. Part 1 and Part 2 elements have already been populated in the Induction Manual and the HOD should add any additional training required for the role.
150. The Administrators can provide assistance with diary planning and will ensure that all relevant staff diaries are updated with the schedule.
151. The final version of the Induction Manual should be sent out to the new employee prior to start date.



## Data Protection

---

152. Personal data will be held, used and destroyed in line with the Commissioner's Data Protection and Information and Records Management policies and the Commissioner's File Plan and Retention Schedule.
153. Should the Commissioner wish to keep any unsuccessful applicant's or candidate's details on file for future vacancies, the FAM will write and notify that person of the Commissioner's intention, setting out the length of time the details will be held, and obtain their written consent to do so.
154. Particular care must be taken when personal data is being sent by post (paragraph 135 refers).

## Records Management guidance

155. Guide to saving documents in VC:-

Document	Cabinet	Sub folder	Subject	Document type	Naming Convention Example
<b>Date Format</b>	<b>Is always in reverse order starting with the year e.g. 2017 02. The month will be the month when the recruitment is taking place. If over more than one month use the latest one.</b>				
<b>Description</b>	<b>Always start the description with the title of the post</b>				
<b>Recruitment – preparation documents</b>					
Advertising Costs	Human Resources	Recruitment	Recruitment – preparation	Plan	2017 02 Administration Assistant – Advertising Plan
Advertisement	Human Resources	Recruitment	Recruitment - preparation	Form	2017 02 Administration Assistant – Job Advertisement
Application form*	Human Resources	Recruitment	Recruitment - preparation	Form	2017 02 Administration Assistant – Application Form
Equal Opportunities Monitoring Form*	Human Resources	Recruitment	Recruitment – preparation	Form	2017 02 Administration Assistant – Equal Opportunities Monitoring Form
Job Description and Person Specification	Human Resources	Recruitment	Recruitment - preparation	Job description	2017 02 Administration Assistant – Job Description Person Specification
Recruitment Action Plan*	Human Resources	Recruitment	Recruitment – preparation	Form	2017 02 Administration Assistant – Recruitment Action Plan
Recruitment Monitoring Spreadsheet*	Human Resources	Recruitment	Recruitment - preparation	Applicant Spreadsheet	2017 02 Administration Assistant – Recruitment Monitoring Spreadsheet <b>(Ensure Security is set to CST)</b>
Summary Terms and	Human	Recruitment	Recruitment -	HR Document	2017 02 Administration Assistant –

Document	Cabinet	Sub folder	Subject	Document type	Naming Convention Example
Conditions of Employment*	Resources		preparation		Summary Terms and Conditions
<b>Recruitment – selection documents</b>					
Applicant Assessment Form*	These forms do not need to be saved to VC. Open the template, add the name of the job and print as many forms as required				
Criteria Checklist*	Human Resources	Recruitment	Recruitment - selection	Form	2017 02 Administration Assistant – Criteria Checklist
Interview scoring sheet*	Human Resources	Recruitment	Recruitment – selection	Form	2017 02 Administration Assistant – Interview Scoring Sheet
Letter Invitation to Interview*	These letters do not need to be saved to VC. Open the template and update as required, print two copies of the letter, one for issue to the applicant and one for SIC records.				
Letter Unsuccessful No Interview*					
Letter Unsuccessful after Interview*					
List of acceptable documents for right to work checks	These forms do not need to be saved to VC. Print as many forms as required to accompany each invitation to interview letter.				
<b>Recruitment – appointment documents</b>					
Conditional Offer Letter*	Human Resources	Recruitment	Recruitment – appointment	Correspondence (Outgoing)	2017 02 Administration Assistant – <i>name</i> Conditional Offer Letter  <b>(Change security to restrict access to Management and FAM)</b>
Formal Offer Letter*	Human Resources	Recruitment	Recruitment – appointment	Correspondence (Outgoing)	2017 02 Administration Assistant – <i>name</i> Formal Offer Letter  <b>(Change security to restrict access to</b>

Document	Cabinet	Sub folder	Subject	Document type	Naming Convention Example
					<b>Management and FAM)</b>
Main Terms and Conditions of Employment*	Human Resources	Recruitment	Recruitment – appointment	HR Document	2017 02 Administration Assistant – Main Terms and Conditions <b>(Change security to restrict access to Management and FAM)</b>
*These documents should be created using the appropriate VC template					

## Appendix 1

---

### Guidance on the creation of job descriptions and person specification

156. The Equality and Human Rights Commission has produced a code on the creation of job descriptions and person specifications and this code should be followed in order to ensure that the advertising and recruitment process is free from any indications of unlawful discrimination. These guidelines incorporate the main aspects of the EHRC code.
157. The job description and person specification should be produced before the job is advertised in order to demonstrate an objective approach and a definite idea of the skills and experience that are required for the job..

### Job description

158. In order to avoid claims of unlawful discrimination, the job description should be concise and should be written in plain language that is easily understandable. A job description should contain the following information:
- (i) Title and the aim of the job. Job titles should not show a predetermined bias for the recruitment of those with a particular characteristic (for example, "matron" may suggest it has been predetermined to recruit a woman, and "office junior" may suggest an intention to recruit a young person).
  - (ii) Specific duties and responsibilities of the post. There should be details of the duties and tasks that the successful candidate would be expected to carry out over a certain period of time. This should be enough to give the applicants a clear picture of what the job entails. There should be sufficient information to enable an applicant to make an informed decision about whether to apply. Employers should be able to justify each duty or task as being necessary. It is good practice to ensure that the job description of the previous incumbent is not just reproduced without proper review.
  - (iii) Details of whether the job can be performed under a range of flexible working options. This will avoid discouraging those who may require such arrangements from applying.
  - (iv) No unnecessary requirements, criteria or conditions. For example, employers should not ask for a degree where a vocational qualification would suffice or a driving licence where the job involves limited travel.

### Person specification

159. The person specification should describe the skills, knowledge, abilities, qualifications, experience and qualities that are considered necessary or desirable in a candidate, in order to perform all the duties in the job description satisfactorily.
160. To ensure that it does not include requirements, criteria or conditions that might unlawfully discriminate against persons who have any of the protected characteristics, employers need to make sure that a person specification:
- (i) Avoids references to a protected characteristic (unless, as with job descriptions, there is an occupational requirement to do so). For example asking for a certain number of years' experience could amount to indirect age discrimination unless this provision can be objectively justified.

- (ii) Includes only the criteria needed to perform the duties in the job description satisfactorily. For example a requirement that a candidate must be "active and energetic" when the job is sedentary is irrelevant and potentially discriminatory against disabled persons.
- (iii) Ranks criteria in order of importance. Essential and desirable requirements should be clearly distinguished as desirable requirements are difficult to justify and may be a source of discrimination. Separating essential and desirable tasks will help an employer think about what aspects of the job could be reassigned to another person if that was a reasonable adjustment to accommodate a person with a disability.
- (iv) Does not overstate the requirements. For example requiring "excellent knowledge of English" when "good understanding" is more appropriate may overstate the requirement and lead to indirect discrimination against people from particular racial groups.
- (v) Focuses on the outcome that needs to be achieved, not how a task should be done. For example stating that a person must be "willing to travel" where a job requires travel is better than stating that a person "must have a driving licence". The former will not exclude people who cannot drive as the result of a disability.
- (vi) As far as possible, uses criteria that can be tested objectively. For example, attributes such as "leadership" need to be objectively defined in terms of measurable skill and the qualities that contribute to it.
- (vii) Clarifies that foreign qualifications of an equivalent standard to UK qualifications are acceptable. There are not blanket requirements or exclusions relating to health or disability and qualifications should only be requested where there is an occupational requirement.
- (viii) Avoids unnecessarily stating that a medical or health-related characteristic is essential or desirable. If it is either not necessary for the role or reasonable adjustments could be made where a disabled person is otherwise unable to comply with the requirement, such statements should be omitted.

# Document control sheet

Document Information	
Full name of current version: Class, Title, Version No and Status. <i>E.g. C5 Key Documents Handbook v01 CURRENT ISSUE</i>	C5 Recruitment and Selection Policy and Hand book v02 CURRENT ISSUE
VC File Id	122668
Type	Policy/procedure
Approver	SMT
Responsible Manager	HOCS
Date of next planned review	08/2022
Approval & Publication	
Approval Date (major version)	16/08/2019
For publication (Y/N)	Y
Date published	16/08/2019
Name of document in website file library	RecruitmentPolicyandHandbook
Corrections / Unplanned or Ad hoc reviews (see Summary of changes below for details)	
Date of last update	

Summary of changes to document				
Date	Action by <i>(initials)</i>	Version updated <i>(e.g. v01.25-36)</i>	New version number <i>(e.g. v01.27, or 02.03)</i>	Brief description <i>(e.g. updated paras 1-8, updated HOPI to HOOM, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)</i>
16/08/19	KB	02.01	02.02	New document created following approval, DCS updated, published on website

**Scottish Information Commissioner**

Kinburn Castle  
Doubledykes Road  
St Andrews, Fife  
KY16 9DS

t 01334 464610

f 01334 464611

enquiries@itspublicknowledge.info

**[www.itspublicknowledge.info](http://www.itspublicknowledge.info)**

© Scottish Information Commissioner 2019

You may use and re-use this information (not including logos) free of charge in any format or medium, under the terms of the Open Government Licence v3.0. To view this licence, visit <http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/>