

Appointment Procedure for Chief Executive & Directors

**Human Resources
August 2018**

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Version Control

Version	Description of version	Effective Date
1.0	Senior Officer Recruitment	
2.0	Amended to take into account structure and audit on employment checks	1 st June 2014
3.0	Updated version for Full Council	21 st January 2016
4.0	General review	21 st August 2018

Approvals

Approved by	Date
Joint Negotiating Group	n/a
Joint Consultative Committee (if applicable)	n/a
Finance & Management Committee	n/a
Full Council	21 st January 2016

1.0 Policy Statement

- 1.1 South Derbyshire District Council is committed to the principle of equal opportunity and fairness in the provision of services and employment. The Council will promote best practice to eliminate discrimination in employment and create a working environment where everyone is treated fairly and with respect.
- 1.2 The overall aims of this procedure are to provide equality of opportunity to all applicants and to recruit on merit. All employees should be able to make a positive contribution to the delivery of the Council's objectives and actively support the values of the Council.

2.0 Scope

- 2.1 This procedure relates to the appointment of Senior Officers, namely Chief Executive and Head of Paid Service and Directors.

3.0 Equality and fairness

- 3.1 The Council, as an employer and service provider, takes its commitment to Equal Opportunities and Fairness very seriously. Employees should be aware that allegations of any form of discrimination will be investigated and this might result in formal disciplinary action, including dismissal, being taken.
- 3.2 Using this procedure to discriminate against or to harass, bully or victimise an employee of the Council or potential employee of the Council is also unacceptable. An allegation of this nature will also be investigated and this might result in formal disciplinary action, including dismissal, being taken.

4.0 Legislative background

- 4.1 The appointment to these positions is covered by the provisions of The Local Authorities (Standing Orders) (England) Regulations 2001 SI No. 3384. The Regulations provide that:
 - Members may only be involved in the appointment of senior officers.
 - Members will have the opportunity to raise objections to the decision about the appointments.
 - All appointments of staff below the level of Director should be conducted at officer level.
 - The appointment of the Head of Paid Service will require a decision by Full Council.

5.0 Appointment of the Recruitment and Selection Panel (the Panel)

- 5.1 When appointing a Senior Officer (as defined in paragraph 2.1) the Council should appoint a Panel of Elected Members.
- 5.2 The Panel should consist of five members chosen from the Finance and Management Committee together with the Chair or Vice Chair of the employing Committee. At least one member of the Panel should be a representative of the minority party to ensure political balance. The Panel will elect a Chair.

- 5.3 The Panel will be advised by the Head of Organisational Development throughout the recruitment and selection process. The Panel may also include appropriate Officers who will be asked for their comments before a decision is made but who will not have voting rights on any decision.
- 5.4 The authority to delegate the appointment to a Panel should be obtained from:
- Full Council for the Head of Paid Service. The appointment of the Head of Paid Service must then be approved by Full Council.
 - The Finance and Management Committee for a Director.
- 5.5 The report to Full Council, or Finance and Management Committee should seek approval for:
- Filling the vacancy.
 - The recruitment campaign to be used. The appropriate senior manager should liaise with Human Resources if the post is to be advertised.
 - The size and composition of the Panel (including political balance) and including the authority to make substitute arrangements if required.
 - Procedures for shortlisting (including dates of meetings).
 - The selection procedure, criteria and methods of assessment.
 - Procedures for making an appointment (including dates of meetings).
 - Establishing the convention for making appointments. This would normally be a majority vote of the members of the Panel. Officers would attend in an advisory capacity only.

Recruitment and Selection Panel - Responsibilities

- 5.6 The Panel should review, or if necessary agree a Job Description and Person Specification for the position.
- 5.7 The Panel should agree the recruitment campaign to be used.
- 5.8 A timetable for the recruitment process will be agreed. This should include dates for shortlisting applications, interview dates and, in the case of Head of Paid Service, the date when the recommendation for appointment will go before Full Council for approval.
- 5.9 Where a post has been advertised the Panel shall agree a shortlist of applicants based on the criteria outlined in the person specification and completed in line with the agreed timetable. The Panel, acting under delegated powers, should agree the final shortlist of candidates.
- 5.10 In relation to the appointment of the Head of Paid Service all Elected Members should be informed that the shortlisting has taken place and provided with an opportunity to view all shortlisted applications. Time will have been allocated for this within the previously agreed timescale.
- 5.11 When appointing a Director the other Members of the Finance and Management Committee should be informed that the shortlisting has taken place and provided with an opportunity to view all shortlisted applications. Time will have been allocated for this in the timetable for the recruitment process.

- 5.12 The Panel will have been delegated the responsibility for appointment. However any decision made regarding the appointment of a Head of Paid Service, has to be approved by Full Council.
- 5.13 Minutes of the meetings should be prepared and formally recorded in accordance with the Council's Constitution including noting whether an appointment has been made.
- 5.14 All meetings of the Panel should be arranged by Democratic Services.
- 5.15 The composition of the Panel and their responsibilities are summarised in Appendix A.

6.0 Process

Shortlist

- 6.1 The proposed shortlist of candidates will be produced by the Officers acting as advisors to the Panel. This will be completed in line with the Council's Recruitment and Selection Procedure. The proposed shortlist will be presented by the Officers to a meeting of the Panel for approval.

Invitation to Interview

- 6.2 The agreed list of candidates will then be invited to attend a selection process by the Head of Organisational Development along with confirmation of any tests that will be undertaken and, if appropriate, any supporting documentation that will be required. If the candidate is required to submit a report and/or prepare a presentation they should be informed of the subject matter at the time of invitation to interview.

Note - this may include informing candidates that progression to the second stage of the process will be dependent on their performance at the initial assessment centre.

Interview Questions

- 6.3 A structured interview format will be used at the second stage of the selection process. The appropriate Officers will propose a list of standard questions based on the competencies outlined in the person specification. These should be agreed ahead of the meeting but, by the very latest, on the first day of the selection process.
- 6.4 The Panel will decide who will ask questions during the interview. Any member of the Panel will be able to ask supplementary questions relevant to the main question, where appropriate. It is important to remember that consistency within each interview is required to ensure a fair assessment of all candidates.

Papers for the Panel

- 6.5 All members of the Panel will be provided with application forms and all associated papers for each of the candidates prior to the selection event. This will be provided by the Head of Organisational Development within the agreed timescales.

7.0 Selection Process - Day One - Assessment Centre

Presentation

- 7.1 Candidates will receive a presentation about the Council and the post. They will then be given the opportunity to ask questions. The presentation will be made by either:
- The Chair of the Panel, the Head of Organisational Development or an independent advisor (if appropriate) for an appointment to the post of Head of Paid Service.
 - The Head of Paid Service or Head of Organisational Development or independent advisor (if appropriate) for an appointment to the post of Director.

Selection exercises

- 7.2 Candidates for a senior post will take part in a range of exercises relevant to the post for which they have applied. These may include in-tray exercises, an observed group exercise, technical assessment and report writing.
- 7.3 Assessment of observed exercises will be lead by the Head of Paid Service and/or Director and the Head of Organisational Development whichever is appropriate. Any independent advisors may be included as observers, if required. Each exercise should be scored individually, using an agreed method and the results recorded.
- 7.4 The scores of all exercises will then be considered by the Panel, who will then determine the shortlist of candidates to progress forward to the second day.
- 7.5 Any Officers present will be asked for their views and comments, prior to the shortlist being agreed for the second day, but will not take part in decision making.
- 7.6 The Head of Paid Service or other nominated person will inform the shortlisted candidates and also those who have been unsuccessful on this occasion. The Head of Organisational Development should also be present.

8.0 Selection Process - Day Two - Formal Interview

- 8.1 Selected candidates will be interviewed separately by the Panel in accordance with the agreed framework.
- 8.2 The Panel may require each candidate, at the start of the interview, to make a presentation. This should have been requested in line with the agreed schedule and assessment criteria, and notified to the candidate ahead of the interview.
- 8.3 Each Member on the Panel will individually score each candidate's presentation and answers to questions that are asked using an agreed scoring method.
- 8.4 After all the candidates have been interviewed, the Officers on the Panel will be asked to give their comments on each candidate and their performance.
- 8.5 Members of the Panel will debate each candidate and the successful candidate will be determined on a majority decision. At this point, any available reference of the chosen candidate will be made known to the Panel. The salary and other terms and conditions of employment will also be decided by the Panel.

- 8.6 Following the selection of the successful candidate, and agreement of offer (including salary and terms and conditions) to be made, either the Chair of the Panel, or a nominated Officer will provisionally offer the successful candidate the post. This provisional offer should be in writing and explain that the offer is subject to approval by:
- Full Council when appointing to the post of Head of Paid Service
 - Finance and Management Committee when appointing a Director.
- 8.7 The Head of Organisational Development will notify the unsuccessful candidates separately.

Documentation checks

- 8.8 On the day of the interview the appropriate checks should be carried out for each interviewee. Application Forms should be signed by each interviewee and copies of required documents should be taken. The following checks should be carried out as appropriate:
- Possession of the appropriate qualification(s). This will depend on the job. The essential qualifications required should be stated on the Person Specification. A copy should be taken of each essential qualification required.
 - Evidence of membership of the appropriate professional body. This will depend on the job and will be stated on the Person Specification. A copy of the evidence should be taken if required.
 - Evidence that the individual is eligible to live and work in the UK (advice on the documentation that can be provided as evidence is on the Intranet). **This check will apply to all jobs.**
- 8.9 The copies of the documentation will be placed on the personal file of the successful candidate. The documentation obtained for the unsuccessful candidates will be securely stored and then destroyed in line with the Council's Document Retention Policy.

9.0 The Appointment

- 9.1 Before an appointment is confirmed, the following must be done.
- The Head of Paid Service or their representative will notify all Members of the Council (Head of Paid Service appointments only), or Members of the Finance and Management Committee (for the other appointments to a senior post) of the decision taken. These Members will be given a maximum of three working days in which to raise any objections to the decision taken.
- If no objections are raised, or the Chair of the Panel considers that they are not material or well founded, the appointment will continue as set out below.
- If an objection is considered to be material and well founded then this would be further discussed with the Panel and a decision will be taken on whether the appointment can continue.
- 9.2 The Head of Paid Service or another appropriate Officer will then liaise with Human Resources to issue the offer of appointment (contract documentation) following the necessary approval. The appointment will be subject to the following as appropriate:

- Satisfactory medical clearance.
- A satisfactory Disclosure and Barring check if appropriate.
- Satisfactory employment references.

9.3 The appointment will also be subject to a probationary period.

9.5 The Head of Organisational Development or another appropriate Officer will obtain available start dates from the successful candidate.

10.0 Induction

10.1 The induction will be conducted by an appropriate Officer and will follow the Council's induction programme.

10.2 It is expected that the appointee will meet with appropriate Elected Members and Senior Officers during the first week of their induction.

10.3 An initial work plan including development actions will be drafted for the appointee and monitored as part of their probation period. Any issues will be addressed as part of the review process.

11.0 Role of Human Resources

11.1 Human Resources will be responsible for:

- Confirming the administrative arrangements for the preparation and supply of application packs to prospective candidates.
- Arranging any assessment centre and organising the supply of occupational testing materials that may be required.
- Liaising with the Head of Paid Service or other appropriate Officer to issue the offer of appointment.
- Sending out appropriate notification to unsuccessful candidates and ensuring the secure handling and storage of all recruitment information.

11.2 The Head of Organisational Development and/or their representative will take part in the selection process as stated in this procedure.

12.0 Role of Head of Paid Service (or other delegated Officer)

12.1 The Head of Paid Service (or other delegated Officer) will be responsible for:

- Arranging all meetings of the recruiting Panel.
- Circulating all papers ahead of Panel meetings in accordance with the agreed timescales.
- Formally recording the decision taken by the Panel.
- Arranging and booking appropriate venues for the assessment centre and interviews.
- The provision of refreshments, including food, as required.
- Ensuring that the appropriate correspondence is issued to applicants\interviewees and the successful candidate during the recruitment and selection process.

13.0 Review of procedure

13.1 The procedure can be reviewed at any time by the Council.

Senior Officer Recruitment and Selection Procedure

Post	Panel Members	Provisional offer made by	Appointment must be approved by
Head of Paid Service	Members from the Council Head of Organisational Development Independent support if appropriate	Chair of Panel or their representative	Full Council
Director	Members from Finance & Management Committee Chair of appropriate Committee. Head of Paid Service Head of Organisational Development	Chair of Panel or their representative	Finance & Management Committee