10. Recruitment & Selection

1. Aim of the Code of Practice 1
2. Key points 1
   - Basic principles 1
   - General policy 2
   - Good practice guide 2
3. Outline of procedure 4
4. Question the need for the job 5
5. Review the job requirements 6
6. Seek authority to recruit 7
7. Plan to advertise 8
8. Plan to recruit and select 9
9. Advertise and respond to enquiries 10
10. Receive applications and short-list 11
11. Interview and select 12
12. Seek authority to appoint 13
13. Offer and validate 14
   - Conditional offers of employment 15
14. Induct and manage probation 16
Aim of the Code of Practice

The aim is to:

1. set out a systematic approach to recruitment which will enable managers to recruit suitably skilled and motivated staff to serve, and achieve the objectives of, the College.
2. clarify roles and responsibilities of those involved in the recruitment and selection of staff
3. ensure that all those responsible for recruitment and selection are aware of the legal framework that governs recruitment and offers of employment.

Key Points

Basic Principles

With the exception of Chair and Reader appointments, responsibility for recruitment and selection at QMUL is devolved to Departments, Schools and Institutes with Human Resources undertaking a supporting, advice and guidance role.

All College staff involved in recruitment and selection processes will ensure that:

1. decisions to short-list and select are based on merit (as defined in the person specification and explored through the selection process)
2. all decisions will fulfil the College’s commitment to fairness and ensure that discrimination on grounds other than merit does not occur
3. advertising is designed and placed with the aim of attracting applicants from diverse sections of the community
4. for all vacancies, they give appropriate and timely consideration to displaced staff and candidates with an impairment
5. all offers of employment are made on a conditional basis subject to the satisfactory completion of pre-employment checks, references, etc., to protect the college, its staff, students and visitors.
General Policy

It is the policy of QMUL to:
1. attract, select and retain high calibre staff
2. recruit staff only on the basis of merit and suitability for the post
3. short-list existing staff at risk of dismissal for reasons of redundancy and/or ill health (where the Disability Discrimination Act applies) for any vacancy for which they meet short-list criteria
4. consider such staff along with other internal or external candidates
5. short-list any applicant who meets the short-list criteria irrespective of any other matter (e.g., the applicant may declare an impairment, or be pregnant, etc.)
6. if need be, refine the short-list on the basis of:
   - the “desirable” criteria in the person specification, or
   - other criteria which can be objectively justified and which do not introduce unfair bias, or
   - an assessment of how well the short-listed applicants meet the requirements of the person specification
7. make available advice and assistance in recruitment and selection through its Human Resources team.

Good Practice Guide

QMUL has developed a "Good Practice in Recruitment and Selection" Guide to support the implementation of this Code of Practice. The guide provides practical tools and techniques to assist in carrying out the procedures laid out in this document.

The guide is designed to:
1. help you to become more familiar with the College’s recruitment and selection policy and processes
2. give information about, and raise awareness of, the legal framework relevant to recruitment and pre-employment requirements
3. provide tools, techniques, templates and example documents.

1. Discrimination on the grounds of Age, sex, race, nationality, disability, marital status, sexual orientation, trade union membership, pregnancy, religion or belief is unlawful (except in rare circumstances - for example where there is a genuine occupational requirement to employ somebody of a particular race, age or sex).
Equal Opportunities and Monitoring

QMUL will:
1. monitor recruitment
2. gather information about candidates at each of the following stages of the process:
   - application stage
   - short-listing
   - appointment.
3. analyse the statistics by age, sex, race and disability
4. assess the effectiveness of its recruitment practices in attracting and selecting diverse candidates
5. use the information derived from monitoring to plan and take action as appropriate
6. make "reasonable adjustments" to meet the needs of candidates and prospective staff with disabilities¹
7. seek information about the criminal record of candidates for certain posts and, where required, seek further detailed information to protect the College, its staff, students and visitors.

All staff involved in the recruitment process are required to assist the College in reaching the above policy objectives.

Glossary

The word "department" in this Code of Practice refers to any:
1. Department, School or Centre in the Faculties of Arts, Law & Social Sciences, Engineering & Mathematical Sciences, and Natural Sciences;
2. Institute in the School of Medicine and Dentistry;
3. Department in the following Central Services: Conference, Catering and Residential Services; Human Resources, Learning, Development and Continuing Education Unit; Educational and Staff Development; Estates; Corporate affairs; Information Services; Registry; Resources.

¹. This is required by the Disability Discrimination Act (1995)
**Outline of procedure**

Normally, recruiting staff is achieved by following the 11-stage process set out below:

<table>
<thead>
<tr>
<th>Question the need for the job</th>
<th>Assess flexibly the need for the job, ways to fund it and get the work done.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review the job requirements</td>
<td>Develop or review the job design, job description, person specification and working pattern. If need be, take HR advice.</td>
</tr>
<tr>
<td>Seek authority to recruit</td>
<td>Complete &quot;Authority to Recruit&quot; form. Send it with supporting documents to HR Contact Officer.</td>
</tr>
<tr>
<td>Plan to advertise</td>
<td>Consider target audience, appropriate media, copy deadlines, costs, etc. If need be, take advice from HR and instruct them to advertise.</td>
</tr>
<tr>
<td>Plan to recruit and select</td>
<td>Select panel and set dates for key stages of the process.</td>
</tr>
<tr>
<td>Advertise and respond to enquiries</td>
<td>Advertise, send application forms and other information, respond to queries.</td>
</tr>
<tr>
<td>Receive applications and short-list</td>
<td>Panel meets to short-list applications using the criteria set out in the person specification. If appropriate, take up references.</td>
</tr>
<tr>
<td>Interview and select</td>
<td>Panel meets and interviews, tests and selects (or rejects) candidates using the criteria set out in the person specification.</td>
</tr>
<tr>
<td>Request appointment of candidate</td>
<td>Make provisional offer. Complete &quot;Request to Appoint&quot; form, equal opportunities monitoring data and summary and return to HR.</td>
</tr>
<tr>
<td>Offer and validate</td>
<td>Specify any conditions - references, medical, criminal or other checks. HR prepare offer letter and contract.</td>
</tr>
<tr>
<td>Plan to induct, induct and manage probation</td>
<td>Plan effective use of induction, probation, supervision, etc to manage performance, develop staff and tackle any problems</td>
</tr>
</tbody>
</table>
Question the need for the job

<table>
<thead>
<tr>
<th>Managers will:</th>
<th>Human Resources can:</th>
</tr>
</thead>
<tbody>
<tr>
<td>consider the following issues:</td>
<td>1 arrange for evaluation of new and changed posts</td>
</tr>
<tr>
<td>1 is the job necessary?</td>
<td>2 discuss options relating to the contract of employment.</td>
</tr>
<tr>
<td>2 how can it be funded and for how long?</td>
<td>3 discuss working pattern options.</td>
</tr>
<tr>
<td>3 how else could the work be done and by whom?</td>
<td>4 advise on the legal and contractual aspects of the temporary re-assignment of roles and responsibilities.</td>
</tr>
<tr>
<td>4 can it be provided in partnership with another department - or another organisation?</td>
<td></td>
</tr>
<tr>
<td>5 can it be commissioned externally to provide better value for money?</td>
<td></td>
</tr>
<tr>
<td>6 does the job provide scope for the development of existing staff through secondment or on a temporary basis?</td>
<td></td>
</tr>
<tr>
<td>7 how does this job fit into the longer term plans of the department or the College?</td>
<td></td>
</tr>
<tr>
<td>8 would greater flexibility be gained for the department, or could the job be made more attractive to candidates by splitting the roles and responsibilities across one or more part time posts?</td>
<td></td>
</tr>
<tr>
<td>9 does the re-design of this job provide opportunities to change others, re-allocate roles or responsibilities, etc.?</td>
<td></td>
</tr>
<tr>
<td>10 are there any job evaluation implications of doing this?</td>
<td></td>
</tr>
</tbody>
</table>
Managers will: | Human Resources can:
---|---
1. develop or up-date the job description\(^1\) to ensure it:
- reflects any changes to roles and responsibilities
- includes any up to date standard College-wide paragraphs applicable to the post
2. arrange the timely re-evaluation of the post through Human Resources if the post has changed
3. develop or up-date the person specification\(^1\) to ensure that it:
- focuses solely on the knowledge, skills, expertise, aptitude for the post
- avoids unnecessary requirements for specific qualifications and or experience
- does not reinforce working practices and systems which discriminate indirectly
- includes restrictions as to the age, race, nationality, sex, etc. of applicants only where this amounts to a “genuine occupational requirement”
4. consider reasonable adjustments to accommodate people with disabilities.

1. Use the current layout or template for job descriptions and person specifications set out in the "Good Practice in Recruitment and Selection" Guide - older documents may need to be up-dated.
**Managers will:**

1. arrange to recruit to Chair or Reader posts only through their HR Manager (Operations)\(^1\)
2. otherwise, complete and submit an ‘Authority to Recruit’ form, ensuring before it is submitted to HR, that:
   - they attach a job description and person specification\(^2\)
   - they identify the source and availability of funding\(^3\)
   - all the sections of the form are completed in full and signed by people with the appropriate authority\(^4\)
3. forward any draft advertisement with the form.

**Human Resources will:**

1. ensure the timely processing of an ‘Authority to Recruit’ form, provided that:
   - it has been completed correctly and in full by the department
   - they have been sent the job description and person specification
2. return incomplete ‘Authority to Recruit’ forms to the originator.

---

1. Recruitment of Chair and Reader posts is not devolved to Departments, Institutes or Schools - HR always carries out the administration for such vacancies.
2. Before they can proceed to advertise, HR must normally have the ‘authority to recruit form’, the job description and the person specification.
3. Management Accounts will confirm funds for HEFCE posts, Research Grants will confirm funds for externally funded posts.
4. Normally a member of PSG (for academic departments the sectoral VPs, for other departments the PSG member with line management responsibility) or the Chief Operating Officer or another person with authority to sign in the absence of the above.
Managers will:

- consider the following issues:
  1. potential sources of applicants for the role (international, national or local) taking into account
    - the knowledge, skills and experience required and
    - the salary to be offered
  2. the length of the contract - any contract over 6 months’ duration must be advertised
  3. if any internal candidates should be considered ahead of others - including any existing staff at risk of redundancy
  4. the typical profile (by age, sex, race, and disability) of applicants for this type of job at QMUL and whether different media or locations for adverts might be tried
  5. cost effective use of the budget for advertising - its reach, concise wording, use of the internet, etc.

Human Resources can:

1. identify different media options including information about the cost and circulation of various journals, magazines, etc.
2. identify opportunities for the placement of more eye-catching composite advertisements in the specialist press, for example, the THES.
3. identify alternative advertising strategies which take account of equal opportunities implications for the department; or QMUL as a whole
4. provide guidance and advice on reducing the word content of adverts to optimise value for money.

---

1. Authority to advertise a post “internally only” can be sought on the “authority to recruit” form
2. If the post meets the requirements of the scheme.
Plan to recruit and select

<table>
<thead>
<tr>
<th>Managers will:</th>
<th>Human Resources can:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 develop an action plan to fill the post in good time</td>
<td>1 provide templates for interview timetable planning.</td>
</tr>
<tr>
<td>2 take into account:</td>
<td>2 advise on the time required to interview a candidate for particular types of post as an aid to interview planning</td>
</tr>
<tr>
<td>- publication deadlines and lead times for the media to be used</td>
<td>3 on an exceptional basis, provide interview panel members - if booked in good time</td>
</tr>
<tr>
<td>- a realistic closing date(^1) - applicants need reasonable time to get information and complete their application; and work permit regulations require a minimum period for the closing date</td>
<td>4 give information about whether potential panel-members have had appropriate training in recruitment and equal opportunities</td>
</tr>
<tr>
<td>- holiday periods (either plan to avoid these or allow more time between advert and closing date, or between short-listing and interview).</td>
<td>5 commission appropriate training courses.</td>
</tr>
<tr>
<td>3 in good time, organise the selection panel ensuring that:</td>
<td></td>
</tr>
<tr>
<td>- all its members (apart from advisors external to QMUL) are trained in recruitment and equal opportunity issues(^2)</td>
<td></td>
</tr>
<tr>
<td>- it is composed as set out in the QMUL &quot;Good Practice&quot; in Recruitment and Selection&quot; Guide and that there is no conflict of interest.</td>
<td></td>
</tr>
<tr>
<td>4 book dates, times, venues and hospitality for short-listing and interview - taking account of the number of rooms and the type of facilities you will require.</td>
<td></td>
</tr>
</tbody>
</table>

1. Once you set a date for interview, put this in the information pack (and, preferably, in the advertisement) so that people can plan to attend. Stick to the date(s) you have set.
2. Exceptions to this requirement for “internal” QMUL panel-members may be agreed only by a member of PSG.
### Managers will:

1. advertise vacancies openly (this might include use of the website for the department)
2. ensure that advertising “copy” is consistent with the job description and person specification
3. include the closing date and, if possible, interview dates
4. use the College's advertising agency for the placement of all external advertisements
5. use the College's corporate house style for all adverts
6. in good time, taking into account publication deadlines:
   - make any changes to “copy”
   - approve final advertisement proofs
7. develop "further information" about the College, department for applicants and specify any special considerations\(^1\) that apply
8. respond promptly to enquiries about the post, usually within 2 working days.

### Human Resources will:

1. communicate with the advertising agency for the College. (The agency will arrange for the development of advertisement proofs and their placement with agreed publications.)
2. query advert content considered to be at risk of being directly, or indirectly, discriminatory.
3. query copy content if the cost of advert seems to be disproportionate.
4. ensure placement of the advert on the College’s website
5. ensure that such information and the application form is available in a variety of accessible formats (e.g. large print).

---

1. For example, this might include a requirement for Occupational Health Screening; the opportunity to offer a “Golden Hello”, satisfactory disclosure or enhanced disclosure from the Criminal Records Bureau, conditions of probation e.g. PGCAP, PHD, professional qualification, etc.
HR Code of Practice
Recruitment and Selection

Receive applications and short-list

<table>
<thead>
<tr>
<th>Managers will:</th>
<th>Human Resources:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. ensure that:</td>
<td>- is able to:</td>
</tr>
<tr>
<td>- a unique number is allocated to each applicant and their monitoring</td>
<td>1. notify managers of any displaced College staff (through redundancy or ill-health) who may meet the requirements of the post.</td>
</tr>
<tr>
<td>sheet to enable them to be matched for later statistical analysis</td>
<td>2. advise on the legal rights of displaced College staff who meet the short-listing criteria.</td>
</tr>
<tr>
<td>- the monitoring sheet is separated and sent to HR1</td>
<td></td>
</tr>
<tr>
<td>- papers are passed to panel members for short-listing</td>
<td></td>
</tr>
<tr>
<td>2. keep securely any forms, monitoring and other personal data, including</td>
<td></td>
</tr>
<tr>
<td>references and treat them as confidential</td>
<td></td>
</tr>
<tr>
<td>3. note any special requirements (e.g. access) relevant to the selection</td>
<td></td>
</tr>
<tr>
<td>process</td>
<td></td>
</tr>
<tr>
<td>4. ensure the short-listing panel is properly constituted and meets</td>
<td></td>
</tr>
<tr>
<td>promptly after the closing date1</td>
<td></td>
</tr>
<tr>
<td>5. retain records of each member’s notes and recommendations</td>
<td></td>
</tr>
<tr>
<td>6. compile a jointly agreed ‘short-listing’ summary sheet1</td>
<td></td>
</tr>
<tr>
<td>7. short-list using only the criteria in the person specification1</td>
<td></td>
</tr>
<tr>
<td>8. take up references before the interview for short-listed candidates (but</td>
<td></td>
</tr>
<tr>
<td>only if they have given written permission for this)</td>
<td></td>
</tr>
<tr>
<td>9. give reasons, if requested, to any applicant who is not short-listed.</td>
<td></td>
</tr>
</tbody>
</table>

1. Please refer to the QMUL “Good Practice in Recruitment and Selection” Guide.
## HR Code of Practice
### Recruitment and Selection

### Interview and select

<table>
<thead>
<tr>
<th>Managers will:</th>
<th>Human Resources:</th>
</tr>
</thead>
</table>
| 1. give reasonable written notice of the interview with details of any presentation or written exercise. | - **will:**
| 2. allocate roles for panel members before interviewing | 1. make available (in its "Good Practice in Recruitment and Selection" Guide):
| 3. plan questions to ensure that there will be evidence against each of the criteria in the person specification. |   - a template for recording interview notes
| 4. wherever practicable, use the same panel members at all stages, including short-listing |   - template for summarising the panel's assessment of the candidates
| 5. ask consistent questions which aim to generate evidence for the criteria in the person specification (follow up questions to probe for depth need not be the same for each candidate) |   - a template letter inviting applicants to interview
| 6. ensure that panel members take individual notes of the interview but compile a joint summary record to show how each candidate meets the criteria |   - a template timetable for the selection day
| 7. select the best person for the job as assessed against the criteria on the person specification |   - examples of presentation exercises
| 8. record any decision to make a conditional job offer |   - examples of written exercises
| 9. ensure that candidates are told promptly in writing if they have been successful or not (usually within 5 working days). |   - a template letter for unsuccessful candidates.
| 10. give open and constructive feedback to unsuccessful candidates who request it. | - **will not:**
| | 1. provide a note-taker for interviews. In the event of a challenge the notes and testimony of panel members will be required.

---

1. *Not all the criteria need be covered by questions at interview. But there should be evidence for each criterion from at least one part of the selection process.*
### Authority to appoint

<table>
<thead>
<tr>
<th>Managers will:</th>
<th>Human Resources will:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. complete, and submit to HR the &quot;request to appoint&quot; form (signed by the chair of the appointments panel) together with: &lt;br&gt; - interview notes &lt;br&gt; - decision record &lt;br&gt; - any employment references received for the successful candidate.</td>
<td>1. ensure the timely processing of an offer of employment provided that the department provides: &lt;br&gt; - the &quot;request to appoint&quot; form completed correctly and in full &lt;br&gt; - a note on any conditions attached to the appointment or the probation period &lt;br&gt; - the successful candidate’s application form &lt;br&gt; - notes on the interview, written test or presentation and materials for the successful candidate &lt;br&gt; - the equal opportunities monitoring information for the vacancy &lt;br&gt; - the interview outcome summary sheet recording the decision to appoint</td>
</tr>
<tr>
<td>2. notify HR of any special conditions relating either to: &lt;br&gt; - the appointment, or &lt;br&gt; - the probationary period&lt;sup&gt;1&lt;/sup&gt; so that these can be included in the offer letter and/or contract</td>
<td>2. return incomplete &quot;request to appoint&quot; forms to the originator of the form.</td>
</tr>
<tr>
<td>3. ensure that the equal opportunities monitoring information for the vacancy are &lt;br&gt; - summarised on the monitoring form &lt;br&gt; - decisions to short-list and interview are recorded</td>
<td></td>
</tr>
<tr>
<td>4. submit to HR all the equal opportunities monitoring forms, and the summary information derived from it</td>
<td></td>
</tr>
<tr>
<td>5. ensure that records and documents relating to the recruitment process are kept according to the College’s standards on personal data.</td>
<td></td>
</tr>
</tbody>
</table>

---

<sup>1</sup> For example, a requirement to participate in or successfully complete PGCAP, or a PHD, or another professional qualification indicating the timeframe in which the condition is to be met.
**Offer and validate**

<table>
<thead>
<tr>
<th>Managers will:</th>
<th>Human Resources will:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. explore a provisional salary (within the grade for the post) and start date with the successful candidate</td>
<td>1. draft and issue a conditional offer letter and employment contract</td>
</tr>
<tr>
<td>2. ensure that the successful candidate is offered the job subject to their meeting the conditions attached to the job offer (see box on page opposite)</td>
<td>2. arrange for the despatch of a confidential occupational health questionnaire</td>
</tr>
<tr>
<td>3. protect QMUL from litigation by ensuring all the conditions are satisfied before letting the applicant start work.</td>
<td>3. arrange for the request of a disclosure statement from the Criminal Records Bureau where applicable</td>
</tr>
<tr>
<td>4. ensure that not less than 3 references (one of which must be from the most recent employer) are taken up and considered</td>
<td>4. ensure prompt liaison between the QMUL Occupational Health Team and line manager for the post, if need be, to consider reasonable adjustments in the workplace under the Disability Discrimination Act</td>
</tr>
<tr>
<td>5. take up any problems, queries or inconsistencies with both the referee and the candidate.</td>
<td>5. administer work permit applications</td>
</tr>
<tr>
<td>6. inspect, original certificates or documents of any relevant qualifications and retain copies required (as specified in the person specification)</td>
<td>6. ensure the Chair of the Panel is notified promptly if any issues arise from the pre employment checks which merit further investigation and if need be ensure the timely withdrawal of the conditional job offer.</td>
</tr>
</tbody>
</table>
### Conditional offers of employment

Necessary conditions for the appointment may include:
- evidence of the right to work in the UK
- a successful work permit application
- references satisfactory to the College
- Occupational Health clearance
- an enhanced disclosure statement from the Criminal Records Bureau that is satisfactory to the College
- satisfactory completion of a probation period
- evidence of essential qualifications.

### Probation

The College has a Code of Practice on Probation. It is good practice to raise and discuss probation with the successful applicant during the selection process. Record any decisions the panel makes about how the employee can be developed and integrated into the College during the probation period.

Managers will:
- record and act on any conditions agreed by the panel in the recruitment process
- if need be, communicate these to HR so that these can be recorded in the offer letter and the contract of employment.

Examples of conditions to be met during the probation period include the successful completion of:
- PGCAP,
- a PhD,
- some other relevant professional qualification.

Indicate the timeframe for the satisfactory completion of the probationary condition.
Managers will:

1. identify the induction needs of the new entrant taking into account:
   - their role and the requirement for clear expectations
   - people with whom they will come into regular contact.
   - training and development needs identified at the recruitment stage
   - relevant health and safety policy and safe working practice
2. develop and implement an induction programme for each new employee in line with the ESD induction checklist\(^1\).
3. enable the new entrant to attend QMUL-wide induction activities and training
4. prioritise the employee’s training needs and plan to meet them in good time
5. meet the new entrant, one to one, on a regular basis to manage workload, give feedback, identify issues, tackle problems, etc
6. for staff with a probation period, implement the provisions of the Code of Practice on Probation.

Human Resources will:

1. provide information about corporate induction and training opportunities (e.g. Introduction to the College, Health and Safety, Equal Opportunities and Diversity).
2. provide information about training programmes which may be relevant to specific roles (e.g. interview and selection)
3. provide support and guidance in the management of conduct, attendance, ill health and or performance issues that arise during the probationary period or thereafter.

---

\(^1\) A copy is in the "Good Practice in Recruitment and Selection" Guide.