

Advance Notice

of intent to recommend appointment

You may use this form to submit information to the Authority in relation to an open competition appointment process which is subject to the Authority's section 25C scrutiny process.

Send the completed form to the Authority at least three weeks before your advertising deadline, along with supporting documentation as required.

When answering each question, you are welcome to refer to information in supporting documents instead of repeating the information on the form. Please make references as precise as possible.

Regulator's details	
Regulator	
Date	
Key contact	
Position	
Phone number	
E-mail address	

Details of the process	
Position	<i>Chair or council member?</i>
Number of vacancies	<i>eg. Chair and 4 council members</i>
Lay/registant mix	<i>eg. 2 lay and 3 registant</i>
Country requirements	<i>Do you need to appoint candidates from particular countries? Which countries?</i>
Start date	<i>When do you want the appointment to commence?</i>
End date	<i>When do you want the appointment to end?</i>
Recommendation date	<i>When will you submit your recommendation(s)?</i>
Advertising deadline	<i>When must you book advertising to keep to your intended timetable?</i>

1. Roles and responsibilities

Explain who is responsible for which aspects of the process, and how you have ensured those involved understand the scope of their role.

2. Stakeholder engagement

How have you engaged with those who have an interest in your work?

Confirm that you have discussed the planned process and the expected timing of the recommendation with the Privy Council Office, and that the Privy Council Office is happy for you to proceed. Detail any other arrangements you have made with the Privy Council Office.

3. Selection panel

Who is on the selection panel, and why has each member been chosen (considering, for example, their skills/areas of expertise and equality & diversity issues). Provide evidence of how you will ensure the panel includes a credible independent perspective, including the name and contact details for the nominated Independent Panel Member.

4. Equality and diversity

Explain how the process will meet your obligations under the Equality Act 2010. For example, how have you assessed the likely impact on individuals who share each protected characteristic? What steps will you take to ensure that everyone feels welcome to apply, and that no-one will be disadvantaged during the process? What steps will you take/have you taken to ensure selection panel members and relevant others are aware of equality and diversity considerations?

5. Advertising and publicity

Provide details of dates and methods of advertising & publicity, and opening/closing dates for applications. Include details of how particular advertising methods are intended to reach particular groups, especially under-represented groups and (where applicable) candidates from Northern Ireland, Scotland, and Wales.

6. Selection criteria and competencies

How have the criteria, competencies, and person specification (or similar) been developed and approved? What are the essential and desirable criteria (or equivalent) for the role?

Explain the profile (eg. skills/diversity mix/areas of expertise) of your current council, along with an explanation of the council's anticipated future needs.

7. Selection process

Outline each step in the selection process, including who will undertake each step, how candidates will be scored at each stage, and how you will decide which candidates will be progressed at each stage.

8. Conflicts of interest and due diligence

How will the process ensure that actual, potential, and perceived conflicts of interest involving candidates, selection panel members, and relevant others, will be identified? How will you make it clear to these individuals what you would consider to be a conflict of interest?

What will due diligence consist of, who will undertake checks, and at what stage of the selection process will the panel have access to the results?

9. Additional information and comments

Provide any other information which you consider helps demonstrate that the process adheres to the four principles.

10. Supporting documents – previously provided

If there are documents which are relevant to this process which you have already provided in relation to a previous process, please list them here. These documents must have remained entirely unchanged since you sent them to us. Please include the date on which you sent them to us.

11. Supporting documents – attached

List all documents you are submitting as attachments to this form. You may provide links to documents on your website instead of sending us the documents themselves. Please make links as specific as possible. We do not require hardcopies of documents.

Key documents include:

- Regulator’s council appointments process/policy document*
- Detailed timetable for the process*
- Information pack for candidates*
- Application and monitoring forms*
- Advertising schedule and details of other publicity*

Other documents which are useful include:

- Relevant reports and/or minutes of council / committee discussions*
- Advertisement copy*
- Equality impact assessment or equivalent*
- Guidance / agreements relating to the recruitment agency (if applicable)*
- Scoring guidance and templates for shortlisting, interviews, etc.*
- Short biographies of selection panel members*
- Guidance provided to selection panel members, and panel terms of reference*

Signature			
Signature		Name	
		Position	
		Date	

Notice of Recommendation

You may use this form to submit information to the Authority in relation to an open competition appointment process which is subject to the Authority's section 25C scrutiny process.

Send the completed form to the Authority when you have recommended one or more candidates for appointment, along with supporting documentation as required.

Please ensure you redact from all documents any information that would allow us to identify candidates.

When answering each question, you are welcome to refer to information in supporting documents instead of repeating the information on the form. Please make references as precise as possible.

Regulator's details	
Regulator	
Date	
Key contact	
Position	
Phone number	
E-mail address	

Details of the recommendation	
Position	<i>Chair or council member?</i>
Number of lay candidates recommended	<i>eg. Chair and 4 council members</i>
Number of registrant candidates recommended	<i>eg. 2 lay and 3 registrant</i>
Country requirements	<i>Have you recommended candidates from particular countries? Which countries?</i>
Start date(s)	<i>When have you recommended the appointment(s) start?</i>
End date(s)	<i>When have you recommended the appointment(s) end?</i>
Date of recommendation	<i>On what date did you submit the recommendation to the Privy Council?</i>

1. Variation from Advance Notice

Has the process varied in any way from that described in your Advance Notice? If so, please explain what changes were made and why.

2. The selection process

This information will help us verify how the selection panel satisfied itself that the recommended candidates met the required criteria and were the best candidates available. It should build on information you have already provided about the stages of your selection process; here we are more interested in the implementation of these stages.

- How many applications were received? How many were progressed to each stage of the process? (Consider combining this with monitoring data – see section 3.)* *How did the panel satisfy itself that decisions made on its behalf by recruitment agencies or others were correct?* *How did the panel decide which candidates to interview and which to recommend for appointment? How was any disagreement between panel members resolved?* *How did any unforeseen circumstances (eg. illness, candidates withdrawing, etc.) affect the process?* *How many candidates were considered appointable? How did the panel decide which of these to recommend for appointment?*
- Did information other than that provided in candidates' applications inform selection decisions? How was this handled, and at what stage of the process was it introduced?*

3. Equality and diversity

Describe how you have met your obligations under the Equality Act 2010 and the Public Sector Equality Duty.

Provide a breakdown of anonymised monitoring information supplied by candidates. Include details for each stage of the selection process. (You may wish to combine this with data provided about the selection process – see section 2.)

4. Due diligence

- What due diligence was undertaken, by whom, and at what stage of the process?*
- How were the results of due diligence checks incorporated into selection decision-making?* *Did information obtained through due diligence checks materially affect any decisions about whether to progress any candidates' applications? How did you ensure candidates were treated fairly?*

5. Conflicts of interest

Were any conflicts of interest identified? How? What was the panel's assessment of the significance of the conflicts? How were they resolved or otherwise dealt with?

Were any conflicts identified involving panel members (eg. substantial prior knowledge of candidates)? How were these resolved?

6. Complaints

Provide details of any complaints you have received about the appointments process, and what steps have been taken to resolve them. Confirm whether any complaints remain unresolved, and if so, that you have advised the Privy Council of this.

7. Other issues and comments

Points to consider:

- Do any posts remain unfilled? Why? What action is proposed going forward?
- Have you identified any learning points from this process? What aspects of the process do you think could be improved, and how?
- Is there anything else you think will help us confirm your process has met the required standard which has not been covered elsewhere?

8. Supporting documents

List all documents you are submitting as attachments to this form. You do not need to send us documents you have already previously provided either earlier in this process or in relation to a previous one as long as they remain entirely unchanged. You may provide links to documents on your website instead of sending us the documents themselves. Please make links as specific as possible.

I declare that to my knowledge due diligence has been undertaken and completed satisfactorily and that I have not omitted any information which could result in embarrassment or cause for concern to the Privy Council.

Signature – chair of the selection panel			
Signature		Name	
		Date	

Notice of Reappointment Recommendation

When a decision has been made to recommend one or more council members for reappointment, this template should be completed, signed by the person responsible for making the recommendation, and submitted to the Authority along with any supporting documentation.

Please ensure you redact from all documents any information that would allow us to identify candidates.

If necessary, please refer to candidates as Candidate 1,2,3, etc.

When answering each question, you are welcome to refer to information in supporting documents instead of repeating the information on the form. Please make references as precise as possible.

Regulator's details	
Regulator	
Date	
Key contact	
Position	
Phone number	
E-mail address	

Details of the recommendation	
Position	<i>Chair or council member?</i>
Number of lay candidates recommended	
Number of registrant candidates recommended	
Country requirements	<i>Have you recommended candidates from particular countries? Which countries?</i>
Start date(s)	<i>When have you recommended the appointment(s) start?</i>
End date(s)	<i>When have you recommended the appointment(s) end?</i>
Date of recommendation	<i>On what date did you submit the recommendation to the Privy Council?</i>

1. Rationale for reappointment

Explain the circumstances surrounding the decision to recommend reappointment, and why reappointment has been chosen over eg. open competition, taking into account factors such as the skills mix and diversity of the current council.

2. Eligibility and willingness

Explain how you have satisfied yourself that the candidates desire reappointment and remain able and willing to commit the required amount of time during the term of their reappointment.

3. Basis of recommendation

Explain how you have satisfied yourself that the decision to recommend candidates for reappointment is based on evidence of candidates' merit. This should include:

- Discussion of how you have satisfied yourself that candidates have performed to an acceptable level during their term. We do not necessarily need to see appraisal documents, but a summary of the outcomes & dates of appraisals that have been undertaken during the term would be useful.*
- Discussion of how you have satisfied yourself that candidates will meet the regulator's anticipated future needs during the term of their reappointment. We anticipate this will include discussion of how the competencies required of council members have changed since the candidates were first appointed, and how candidates have demonstrated they meet any revised competencies.*
- Confirmation that the candidate(s) have met required attendance levels at council meetings, and committee meetings if applicable.*

4. Third-party feedback

Explain how you have taken feedback from third parties into account in deciding to recommend the candidate(s) for reappointment.

5. Complaints

Provide details of any complaints received: About the candidate(s) during their term including whether they have been upheld, and an explanation of how they have been resolved. About the reappointment process and how these have been resolved. In both cases, please confirm if there have been no complaints.

6. Conflicts of interest

Summarise any conflicts of interest involving the recommended candidate(s) that have arisen since they were appointed, and explain how these have been resolved. Please confirm if no conflicts of interest have arisen.

7. Compliance with legislation

Confirm that all relevant legislative provisions have been complied with. This would include confirmation that: Recommended candidates are eligible for reappointment in terms of length of tenure and other disqualification criteria.

- Provisions relating to lay and registrant membership of council continue to be met.
- Provisions relating to inclusion of council members from Northern Ireland, Scotland, and Wales continue to be met. All other legal requirements are met.

8. Other issues and comments

Please include any other information which helps demonstrate that the reappointments process is fair, is transparent & open, inspires confidence, and ensures decisions are based on evidence of candidates' merit

8. Supporting documents

List all documents you are submitting as attachments to this form. You do not need to send us documents you have already previously provided either earlier in this process or in relation to a previous one as long as they remain entirely unchanged. You may provide links to documents on your website instead of sending us the documents themselves. Please ensure links are as specific as possible. If you are submitting information about more than one candidate, please refer to them as Candidate 1, 2, 3, etc.

Signature – person responsible for recommending reappointment			
Signature		Name	
		Position	
		Date	