

# **HORIZONS (Plymouth)**

**Horizons Children's Sailing Charity**

## ***Recruitment Procedures***



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Date of Last Review: March 2023

Review Period: Annually

## 1. Trustee Appointment Procedure

### Guidance on the recruitment and appointment of Trustees

Horizons is fortunate to have many volunteers. Most people give their help on the water and to assist at sailing sessions. However we also have a board of volunteer Trustees.

Horizons is a Registered Charity. The Board of Trustees are responsible for the conduct of the organisation, ensuring that it operates in accordance with its Memorandum and Articles of Association and that all the funds received by Horizons are used exclusively for the achievement of its stated objectives.

The Trustees are responsible for ensuring the correct management of a budget of over £100,000 a year. We employ three staff in the Management Team and must provide for the safety and comfort of children, young people and volunteers while on the water.

The Trustees take these responsibilities seriously. Trustees meet as a Board every 4 to 6 weeks and typically carry out work in between meetings as well.

As well as being responsible for the most efficient and effective operation on the water, the Board of Trustees will also review its own "fitness for purpose" every 3 years and as and when vacancies arise. This review process includes a skills audit and will begin in 2017.

In carrying out a review the board will consider:

- How we could fill gaps in skills or experience by:
  - Building on the skills of our existing Trustees
  - Training our existing Trustees
  - Working or sharing expertise with other charities
  - Recruiting new Trustees to meet specific skills gaps
- How we could maintain or develop our diversity by considering factors such as:
  - Age
  - Race
  - Gender
  - Educational background and professional qualifications

### The appointment of new Trustees is by fellow Trustees:

From time to time the Trustees will recognise the need for new/additional skills on the Board or the need for a specific requirement. This may be through conducting a skills audit, through a vacancy arising or through a material change in the business of the charity.

When the need to appoint a new Trustee to the Board is identified, it will be the responsibility of the Board to fulfil that need.

The duties of Trustees are enshrined in law and not to be taken lightly. The Board must be confident that a potential candidate can not only meet specific requirements but also be able to carry the responsibilities and maintain the good reputation of Horizons.

Potential candidates will be invited to consider a position as a Trustee. The recruitment process will include the following:

- An invitation to discuss the aims of Horizons and how they may assist us to meet those aims
- A reminder that there is a vetting process
- An invitation to meet the Management Team and witness the sailing operation
- To read the Memorandum and Articles of Association
- To attend at least 2 Board meetings
- Any other specific requirement that may be identified
- DBS Check carried out, and results processed

Where there is mutual agreement to make an appointment, there is a requirement within the Memorandum of Articles for the appointment to be voted on by members at the next Annual General Meeting.

### If anyone is interested in becoming a trustee:

Please have a look at the following:

[Memorandum and Articles of Association for Horizons](#)

["The Essential Trustee: What you need to know; What you need to do."](#)

(A government document giving general advice on the role and responsibility of trustees)

Trustee vacancies will be posted on the Horizons website. Please feel free to discuss your interest with one of the trustees.

**2. New Staff Recruitment Procedure**

1. Trustees agree requirement for new member of staff, in consultation with Horizons Management Team (HMT)
2. Draft Job Description and Person Specification prepared by HMT
3. Job Description and Person Specification approved by Trustees
4. Trustees approve budget/timescale and appoint Recruitment Task Group. (RTG = member of staff + Trustee)
5. Post advertised, requesting CV and Covering Letter
6. RTG review applications and send Job Description and Person Specification to applicants who appear to meet requirements
7. RTG shortlist applicants and arrange interviews in Plymouth
8. Interview consists of:
  - a) Introduction to Horizons
  - b) Time on the water, preferably integrated with a scheduled activity with a typical target group
  - c) Formal Interview to assess fit to Person Specification
9. Take up references on preferred candidate
10. DBS Check carried out, and results processed
11. RTG recommend suitable candidate to Trustees
12. If Trustees agree, candidate offered post and draft contract issued
13. If candidate declines, consider other candidates or re-advertise post

**Notes**

- Reimbursement for travelling expenses to Plymouth will be standard class return rail fare and overnight stay if necessary
- It is important to be able to move quickly and make decisions to avoid risk of losing a suitable candidate. Hence consultation between RTG and Trustees will be by email / phone call i.e. it is not required to hold formal meetings of either HMT or Trustees to complete the recruitment process
- This document is a working document and is therefore reviewed and updated on a regular basis. Updates will reflect changes in: industry "Best Practice", Horizons Risk Assessments, legislation or guidance from regulatory bodies. This document will be reviewed annually as a minimum

### 3. Policy Statement on the Recruitment of Ex-Offenders

As an organisation using criminal record checks processed through the Disclosure and Barring Service (DBS) to assess applicants' suitability for positions which are included in the Rehabilitation of Offenders Act 1974 (Exceptions) Order, Horizons (Plymouth) complies fully with the DBS Code of Practice and undertakes to treat all applicants fairly.

Horizons (Plymouth) makes this policy on the recruitment of ex-offenders available to all DBS applicants at the outset of the recruitment process. Every subject of a criminal record check submitted to the DBS is made aware of the existence of the Code of Practice and a copy is made available on request.

An application for a criminal record check is only submitted to the DBS after a thorough risk assessment has indicated that it is both proportionate and relevant to the position concerned. For those positions where a criminal record check is identified as necessary, all application forms, job adverts and recruitment briefs will contain a statement that an application for a DBS certificate will be submitted in the event of the individual being offered the position.

Horizons (Plymouth) aims to ensure that all present and potential participants, members, volunteers and staff are treated fairly and on an equal basis, irrespective of their sex, age, disability, race, religion or belief, sexual orientation, pregnancy and maternity, marriage and civil partnership, gender reassignment, social status or offending background.

Horizons (Plymouth) actively promotes equality of opportunity for all with the right mix of talent, skills and potential, welcomes applications from a wide range of candidates and selects all candidates based on their skills, qualifications and experience. Horizons (Plymouth) undertake not to discriminate unfairly against any subject of a criminal record check on the basis of a conviction or other information revealed.

Horizons (Plymouth) can only ask an individual to provide details of convictions and cautions that Horizons (Plymouth) is legally entitled to know about. Where a DBS certificate at either Standard or Enhanced level can legally be requested (where the position is one that is included in the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 as amended, and where appropriate Police Act Regulations as amended), (Horizons (Plymouth) can only ask an individual about convictions and cautions that are not protected and will be disclosed on the DBS certificate.

Horizons (Plymouth) ensures that all those who are involved in the recruitment process have received appropriate guidance and training on the relevant legislation relating to the employment of ex-offenders, e.g. the Rehabilitation of Offenders Act 1974, and are aware that they can seek guidance from the RYA if required.

Horizons (Plymouth) ensures that an open and measured discussion takes place with the individual seeking the position on the subject of any offences or other matter that might be relevant, including any matter revealed on a DBS certificate, before withdrawing a conditional offer of employment. Failure to reveal information that is directly relevant to the position sought could lead to withdrawal of an offer of employment.

#### 4. Volunteer Application Procedure

##### Stage 1

1. **Make an initial enquiry**
  - Telephone: 01752 605800
  - Email: info@horizonsplymouth.org
2. **Arrange a date**
  - for an informal introduction to Horizons
  - to take part in an on water session
3. **On water session**
  - Join us for a session to get a feel for the organisation
4. **Make a decision**
  - a) You want to join as a volunteer:
    - Continue to Stage 2
  - b) Decide it's not for you:
    - Suggest other roles within Horizons that might be more appropriate i.e. a shore based role
    - Referral to the local Volunteer Centre
    - If you wish to continue your application continue to Stage 2

##### Stage 2

1. **Formal interview**
  - Invited to a formal interview
  - You will be given any necessary information
  - Copies of relevant qualifications will need to be presented
  - If applying for an on water role details of relevant tidal experience will be discussed
2. **Outcome of formal interview**
  - a) Successful interview
    - Horizons will aim to contact your two references within a month
    - If references are appropriate the application will be progressed to Stage 3
  - b) Unsuccessful application
    - Referral to the local Volunteer Centre

##### Stage 3

1. **Induction Process**
  - See Section 5

## 5. Induction Process for all new applicants

This Induction process takes you from a successful application to actively taking part in Horizons activities.

There is no set time frame for this process. It could take longer with volunteers than it could with a new member of staff.

The experience of the candidate could dictate the induction process to some extent; however these are the generic steps for all candidates. The steps are laid out in a logical order, which should be followed.

### Introduction

- Introduction to Horizons personnel
- Site tour
- Check all necessary forms have been completed
  - Application and Self-Disclosure
  - Equal Opportunities
  - DBS Check results checked as per Flow Chart in **Section 6**
  - Volunteer Agreement
- Familiarisation with Operational Procedures and Policies
  - Sign the Master Copy

### On water roles

- Introduction to craft and operating areas
  - Familiarisation training with a suitably experienced person
  - Agree a training / development programme if required (e.g. tidal endorsements)
  - Familiarisation with shore based role during club sessions

### Shore based roles

- Including maintenance or fundraising etc.:
  - Agree role with Business Manager / Chief Executive
  - Agree appropriate supervision plan
  - Discuss relevant procedures
- Mini-bus Drivers
  - Check qualifications
  - Familiarisation / observation trip
  - Outline responsibilities associated to the Section 19 Minibus permit

### Results of DBS Check

- At some point during the induction process your DBS results will need to be reviewed
- The results of the DBS check will be sent directly to you
- You must bring your DBS Certificate into the office
- Horizons will review the DBS check:
  - a) If all clear you can then work in an “unsupervised capacity” if relevant (i.e 1 to 1 in a Pico)
  - b) Issue date and number taken
  - c) If an issue is highlighted Horizons will carry out a Risk Assessment
    - You will be invited to a Risk Assessment interview
    - You will then be informed of the outcome of the interview:
      - Positive outcome: complete the application process
      - Negative outcome: referral the local Volunteer Centre

## 6. Disclosure and Barring Service Procedures

The Disclosure and Barring Service (DBS) is an agency of the Home Office.

The DBS is responsible for maintaining the lists of people barred from working either with children or with adults (the 'Barred Lists'), making barring decisions and issuing Criminal Records Disclosures.

A one off visitor (e.g. a Support Worker who attends with a young person) will be asked to fill in a Self-Declaration, but may then be asked to complete a Disclosure if they become a regular visitor/attendee.

Horizons will ask all staff, trustees and volunteers to apply for Disclosures. Although it is not currently a statutory requirement, it has become accepted good practice.

In the event of an incident involving a child or vulnerable person, a failure to check that those in relevant roles are suitable to work with the vulnerable group may strengthen a claim against the organisation.

It is a criminal offence under the Safeguarding Vulnerable Groups Act 2006:

- for a Barred individual to work in Regulated Activity (see below)
- for an organisation to knowingly allow someone who has been Barred to work in Regulated Activity
- for an organisation to fail to make a referral to the DBS if they have dismissed someone from Regulated Activity for harming or posing a risk of harm to a vulnerable person.

Only applicants for posts covered by the Rehabilitation of Offenders Act (Exceptions) Order, such as those in positions of trust involving close and regular contact with vulnerable groups, can be asked to apply for a Disclosure. A criminal record will only be taken into account when it is relevant and will not necessarily be a bar to employment or volunteering.

The Disclosure is only one part of our recruitment process. Horizons will also ask applicants to provide information about their previous experience, check their qualifications where relevant, take up references and explore their attitudes to children and young people or vulnerable adults.

**Levels of Disclosure:** (Horizons will request an Enhanced DBS check with Barred List check).

- Standard DBS check – checks the Police National Computer for spent and unspent convictions, cautions, reprimands and warnings. Normally used for positions of trust in the financial sector etc. Does not disclose the full range of information that may be relevant for work with vulnerable groups.
- Enhanced DBS check – checks the PNC as above, and provides other relevant information disclosed at the discretion of the Chief Police Officer(s). Can be requested where the individual's role involves close and regular contact with a vulnerable group but does not fall within the definition of 'Regulated Activity', for example because it is supervised.
- Enhanced DBS check with Barred List check – as for Enhanced, and additionally checks that the individual has not been Barred from working with the relevant group(s) – children, adults or both. A Barred List check can only be requested if the person's role involves 'Regulated Activity'.

**Definitions** (there are other definitions but they do not apply to the sport and recreation sector):

Regulated Activity with children and young people aged under 18, is defined as:

- 'Unsupervised activities: teach, train, instruct, care for or supervise children, or provide advice/guidance on well-being' if done 'frequently' or 'intensively' – this means at least once a week, or four times in a 30 day period, or overnight.
- 'Day-to-day management or supervision of individuals carrying out work which would be Regulated Activity if unsupervised'.

Definition of 'Supervised':

- there must be supervision by a person who is in Regulated Activity and has been checked;
- the supervision must be regular and day to day; and
- the supervision must be 'reasonable in all the circumstances to ensure the protection of children'. Relevant factors will include the number of workers being supervised, the physical environment, the ages of the children, the ratio of adults to children, any additional vulnerabilities the children may have.

The only definitions of Regulated Activity with adults that apply to sailing and boating activities are:

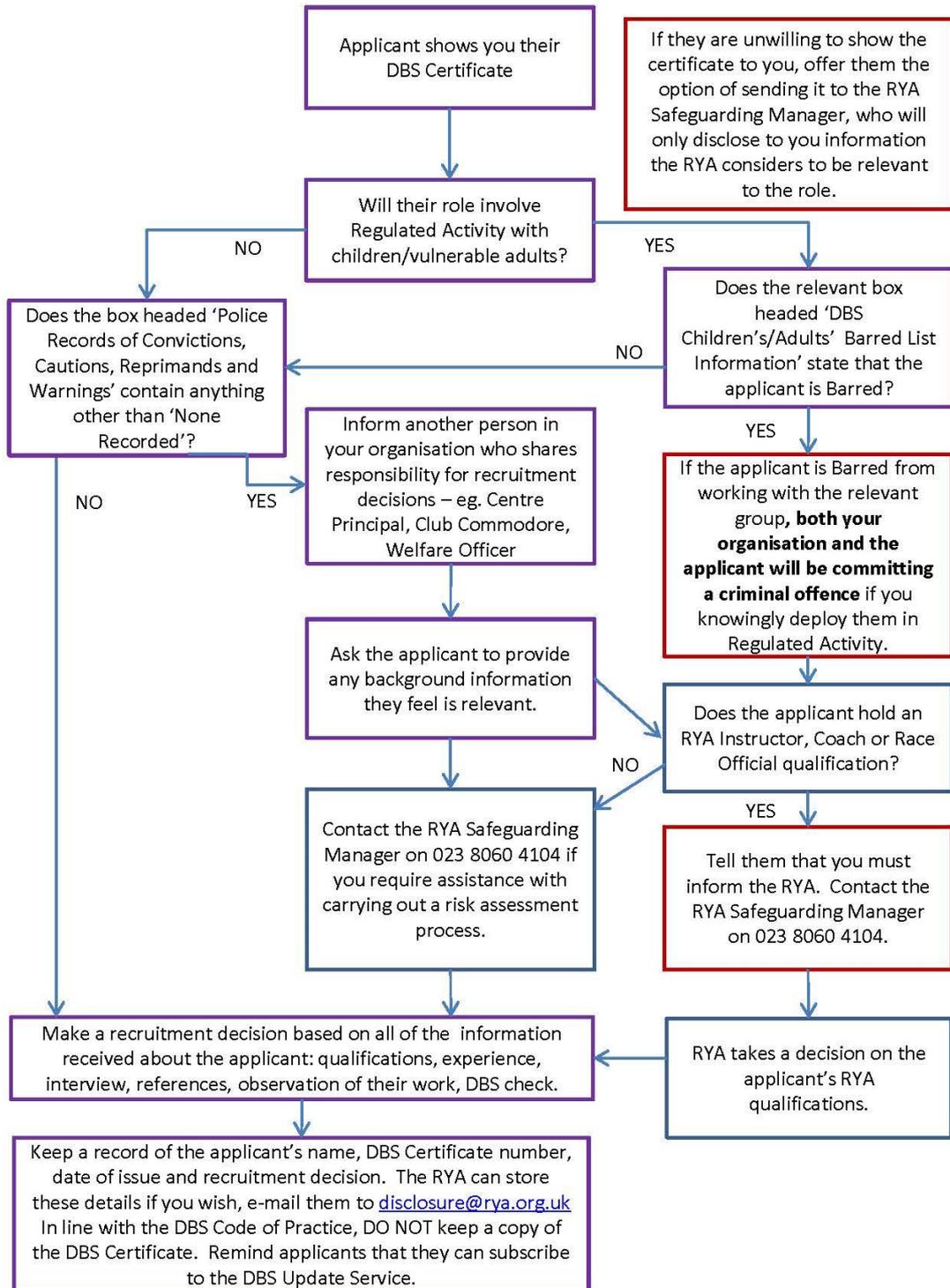
- 'Providing personal care to adults' (does not have to be frequent or regular, can be supervised or unsupervised)
- 'Day-to-day management or supervision of individuals carrying out Regulated Activity'.

**DBS Application Process**

Horizons will ask individuals to apply for an Enhanced check with Barred List check, which will be done free of charge through the RYA which is a DBS Registered Umbrella Body:

- Horizons will have a designated DBS contact who will manage the DBS process. This will include signing the agreement with the RYA, who will act as the Umbrella Body.
- The RYA will provide a supply of DBS application forms. They also have a process which can be used to make online applications, which will now be the preferred method.
- During the recruitment procedure Horizons will make it clear to applicants that if selected they will be required to apply for a check, and at what level.
- Horizons will make sure that any job offer or offer of a voluntary post is subject to satisfactory references and Disclosure/Barred List check.
- If the applicant is already registered with the DBS Update Service and their existing Disclosure is for the same workforce (Children, Adults or both), future employers or voluntary organisations can ask to see their Certificate and confirm online whether it is still current. The applicant will not have to apply for a further check unless the new role is for a different workforce, or the update indicates that new information has been added since the Certificate was issued. Subscription to this service must be renewed annually. It is free for volunteers and costs £13 per year for paid staff.
- If the applicant has not joined the DBS Update Service, Horizons will give them a DBS application form. Applicants will be asked to read the instructions on the front page before starting to complete the form.
- Horizons will make individuals aware of the policy on the recruitment of ex- offenders and make the [DBS Code of Practice](#) and the policy on the secure handling of Disclosure information available on request.
- The applicant will complete and sign the form and return it to the designated person, together with their identity documents, or follow the steps for the online application which will be sent via email.
- Acting on the RYA's behalf, the designated person will check the applicant's identity documents and completes Sections W and X and the boxes marked 'Registered body use only'.
- A record will be kept of the applicant's Form Reference number – this is on the front page of the form in the top right corner next to the bar code – and their date of birth.
- The form is sent to the RYA for counter-signature. If the application is for a paid post, a payment of £44 is required.
- The RYA checks, counter-signs and forwards the form to the DBS.
- The DBS carries out the appropriate checks and issues a Disclosure Certificate to the applicant. The Designated person can check online whether the Certificate has been issued.
- The RYA does not receive a copy of the Certificate. Applicants will be asked to show the designated person their Certificate. If they are unwilling to do so, they will be offered the option of sending it to the RYA Safeguarding Manager who will only disclose information the RYA considers to be relevant to the role.
- Horizons will handle DBS Certificates in line the RYA Guidance flow chart below.
- Based on all the available information, and having discussed any concerns with the applicant, Horizons will make a final decision on whether to confirm the appointment. The RYA is not responsible for the decision to appoint or for any consequences arising from that appointment.
- If the Disclosure reveals that an applicant is barred from working with children, or has relevant convictions, the RYA may need to take action in relation to any RYA qualifications that enable the individual to teach, train or supervise children.
- DBS Information will be handled in line with Horizons Data Protection Policy.
- The Designated DBS Contact will follow the RYA Guide to completing and checking the DBS application form.

**RYA Guidance on Handling DBS certificates**



## 7. Disciplinary Procedures

The aim of the Disciplinary policy is to help an individual to improve their performance, conduct or attitudes where these are giving cause for concern.

Employees and volunteers will be given opportunities to effect the necessary improvements with the assistance of training and counselling as deemed necessary.

In most cases, when minor lapses occur, it is possible to discuss the matter and overcome any difficulty with help and guidance.

In these situations it is believed that it is more important to understand what has led to the situation and re-establish co-operation and understanding to prevent a recurrence rather than resorting to formal disciplinary action.

However employees and volunteers will be liable to disciplinary action for:

- Unsatisfactory work performance – continuing unsatisfactory performance of work (quality, quantity or accuracy below accepted standards)
- Unsatisfactory behaviour
- Misconduct or negligence
- Poor time keeping
- Unacceptable absence
- Persistence wilful absenteeism
- Damage to Horizons' property
- Any intentional act of racism / discrimination
- Wilful non-compliance of H&S rules
- Time wasting
- Use of foul or blasphemous language
- Unacceptable personal behaviour
- Failure to follow Horizons accounting procedures
- Negligence resulting in minor loss or injury
- Failure to comply with a specific instruction
- Irresponsibility or impropriety in relation to the employees / volunteers activities, whether or not in working hours, which is considered to be detrimental to or conflicting with the interests of Horizons or likely to affect an individual's standards of work
- Failure to disclose any personal interest which conflicts with any matter in which the employee / volunteer is engaged on behalf of Horizons, or any breach of confidence relating to Horizons or its affairs

### **Gross misconduct or gross negligence includes:**

- Proven theft; dishonesty / falsifying expenses claims etc.
- Fraudulently appropriating funds by deception to obtain an unjust or illegal financial advantage or any other means
- Intentional mis-statements in, or omissions of amounts or disclosures from accounting records or financial statements
- Misleading Horizons about sickness records or payments, DSS benefits, or a claim against a third party
- Use for personal ends of confidential information obtained as an employee / volunteer
- Deliberate disclosure of confidential information
- Deliberate breach of safety regulations
- Causing malicious damage to Horizons property or another colleague or client
- Criminal acts which occur outside Horizons but which are relevant to continuing employment with Horizons

- Fighting with anyone on Horizons premises / property or threatening actual bodily harm to a colleague or client
- Gross insubordination
- Abusive behaviour
- Conduct violating common decency
- Deliberate disregard of instructions or duties relating to employment
- Smoking in prohibited areas
- Deliberate failure to implement equal opportunities policy
- Sexual / racial harassment
- Being under the influence of drink / drugs on Horizons property at any time
- Negligence which results or could have resulted in serious losses, damage or injury

### **Disciplinary Process**

#### **Verbal Warning**

- Individuals will be advised of areas of unsatisfactory performance; the consequences of continued unsatisfactory performance, the right of appeal. A note will be retained for 6 months together with the agreed course of action.

#### **First Written Warning**

- Will include the specific details of the unsatisfactory performance, details of the improvement required and timescale, warning that action under the next stage will be considered if there is no satisfactory improvement, right of appeal.

#### **Final Written Warning**

- Details of unsatisfactory performance, details of improvement required and when this is to be achieved, that dismissal or whatever penalty is considered appropriate will result if there is no satisfactory improvement; the right to appeal.

#### **Dismissal**

- A staff member will only be dismissed after consideration of all other disciplinary action including demotion, salary suspension etc.

#### **Appeal**

- If a member of staff/volunteer is dissatisfied with the outcome of any stage of the disciplinary process he or she may appeal either verbally or in writing, within 3 working days of the disciplinary decision to the Chair of Horizons. The decision of any appeal hearing is final.

#### **Grievances**

- It is the policy of the Trustees that Horizons' staff and volunteers should:
  - Be given a fair hearing by their immediate supervisor concerning any grievance that they may wish to raise
  - Have the right to appeal against any decision made by their immediate supervisor
  - Have the right to be accompanied by a representative of their choice when raising a grievance or appealing against a decision

#### **Grievance Handling Procedure**

The main stages through which a grievance may be raised are as follows:

- The employee / volunteer raises the matter with their immediate supervisor and may be accompanied by a representative of their choice
- If the employee / volunteer is not satisfied with the decision; he/she may appeal to the Board of Trustees
  - This meeting will take place within 5 working days of the request and will be attended by at least two trustees and the employee/volunteer together with a representative of their choice
  - The result of the meeting will be recorded in writing and copies issued to all concerned
  - The decision of the Trustees will be final