Human Resources

New Appointment Authorisation Form

Where a post has already been approved and advertised the offers page should be completed on the e-recruitment system, i-grasp, to initiate a contract of employment. For other appointments please complete a New Appointment Authorisation Form (NAAF). Please return the completed NAAF to Human Resources. **If externally funded, please return the form to the Research Finance Office, 2nd Floor, Tower Building.** Contracts of employment cannot be prepared if all the information and authorisation requested is not provided. Please also include a CV and any Reference Reports of the successful candidate. If you have any difficulties in completing this form, staff in Human Resources will be glad to help.

<table>
<thead>
<tr>
<th>Details of Vacancy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vacancy Reference Number ............................................. OR Unadvertised ☐ (tick)</td>
</tr>
<tr>
<td>Previous Incumbent (Give name, Staff Category and Grade) OR New Post ☐ (tick)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Details of Appointee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: (Title, Forename, Surname) ..........................................................</td>
</tr>
<tr>
<td>The appointee: has held a previous post with the University ☐ (tick)</td>
</tr>
<tr>
<td>holds a current post with the University ☐ (tick)</td>
</tr>
<tr>
<td>Send contract to: Department Address ☐ (tick)</td>
</tr>
<tr>
<td>Home Address ☐ (tick)</td>
</tr>
<tr>
<td>On first day reports to: Name: ..........................................................</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Certificate of Sponsorship</th>
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</thead>
<tbody>
<tr>
<td>Does the Appointee require a Certificate of Sponsorship? If ‘Yes’ then contact your HR Officer immediately. A Certificate of Sponsorship is required for citizens of non-EEA countries. If in doubt, please contact HR</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Details of Appointment</th>
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<tbody>
<tr>
<td>Position/Job Title: ..........................................................</td>
</tr>
<tr>
<td>School/Discipline/Directorate: ..........................................................</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>The position is:</th>
<th>Permanent ☐</th>
<th>Start Date:</th>
<th>End Date: (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed-term</td>
<td>☐</td>
<td></td>
<td></td>
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<table>
<thead>
<tr>
<th>The position is:</th>
<th>Full-time ☐</th>
<th></th>
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<tbody>
<tr>
<td>Part-time</td>
<td>☐</td>
<td></td>
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</tr>
</tbody>
</table>

If part-time please state either; number of hours for staff Grades 3 – 6, or the percentage of full-time for Academic, Academic Related and Research positions.

| Grade, Spinal Point & Starting Salary: .......................................................... |
| Working under the immediate direction of: .......................................................... |
Honorary NHS Contract

Is an Honorary contract required? □ State Organisation: ……………………………

Is this for Clinical Work (ie patient contact?) □ Yes □ No

Or Research work (ie access to patient data/samples) □ State Grade of Honorary Contract:
Consultant □ Specialty Registrar □ Other – please specify: ……………………………

Salary Charging

Source of Funding % Split Level 1 Level 2 Level 3 Level 4

Reclaims

Complete if the salary for this post (or if a proportion) is to be reclaimed from another organisation. (See Procedure).

Name & Address of Organisation: Reclaim Percentage ………………………………… % OR

………………………………………… Fixed Monthly Amount £…………………… Apportion Y/N

Account Code to which reclaim should be invoiced: ……………………………

Approval

Advertised Position

Where approval for filling a vacancy has already been given by Staffing Sub Committee, or University Staffing Committee in accordance with the post approval process, and the post advertised, the offers page on the e-recruitment system should be completed.

Unadvertised Position

Most positions are advertised. However it is recognised that it may not be appropriate to advertise a vacancy which may lead to certain new appointments. Examples of this might include:

- A research grant has been awarded on the basis that the work is carried out by a named researcher.
- The work is of a temporary (normally 3 months or less) nature
- Hourly paid Academic Staff

Externally funded positions must be approved by both the Grantholder and the Head of Discipline/Director.

Where approval for filling a vacancy has not already been given in accordance with the post approval process, this form must be signed by the 1. Head of Discipline/Director and 2. Dean/University Secretary, where applicable.

I approve the appointment to this position on the terms outlined above. I can confirm that the funds detailed above are sufficient to fund this appointment.

1. Name: ………………………………… Signature: ………………………………… Date: ……………………

2. Name: ………………………………… Signature: ………………………………… Date: ……………………

Externally Funded Positions

Send to Research Finance Office Prior to Human Resources (by e-mail or hard copy)

Where all or some of the salary is charged to external funding send this form to Research Finance Office (RFO), 2nd floor, Tower Building for authorisation of external funding details. Once authorised RFO will automatically forward it to HR who will draw up and issue a contract. Please send CV, and any References directly to HR with copy of this form as these are confidential documents.

Research Finance Office Authorisation: ………………………………… Date: ……………………

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New legislation brought in by the Protection of Vulnerable Groups (Scotland) Act 2007 came into force in Scotland which replaced the Protection of Children (Scotland) Act 2003 and with it the definition and process for performing criminal record checks on staff and students whose work brings them into contact with vulnerable groups (previously ‘Enhanced Disclosure checks’).

It replaced these with a Protection of Vulnerable Groups (PVG) Scheme which requires membership for certain types of work. Disclosure Scotland is the governing body responsible for all matters relating to the legislation and has been given enhanced regulatory powers.

The definition of the PVG Scheme means that only a very small minority of HE staff are doing regulated work and these are in quite specific positions.

The aims of the Scheme are defined as follows:

- To help to ensure that those who have regular contact with children and protected adults, through paid and unpaid work, do not have a known history of harmful behaviour;
- To be quick and easy to use, reducing the need for PVG Scheme members to complete a detailed application form every time a disclosure check is required;
- To strike a balance between proportionate protection and robust regulation and make it easier for employers to determine who should be checked to protect their client group.

It is an offence for employers to employ individuals who are barred from doing related work with children or protected adults. **It is also an offence to carry out checks on individuals that cannot be justified.**

Scheme membership is portable for the individual and membership is essentially for life.

Protected adults for the purposes of the Act are **individuals aged 16 or over who are provided with a type of care, support or welfare service.**

**Regulated work**

It is important to note that only a small minority of staff who come into contact with children or protected adults through their work are doing regulated work with children or adults. In order for HE staff to fall within the definition, they must be specifically employed **for the majority of their time** in caring for, supervising and advising children and/or protected adults. **This provision will not apply to those staff who are specifically employed to carry out these tasks for all students, the majority of whom will be over 18 and will not be protected adults.**

**Exceptions to regulated work – Incidental Activity**

The Disclosure Scotland guidance narrows the scope of regulated work by an ‘incidental test’. Some, but not all, activities with children and protected adults are excluded from being regulated work if the activity is occurring incidentally to working with individuals who are not children or protected adults. In the example of a Lecturer who teaches undergraduate and postgraduate students, University classes are aimed at the population as a whole but may include some children in first year undergraduate classes. Despite the fact that some children attend classes, teaching them is incidental to the teaching of adults and therefore **Lecturers are not considered to be doing regulated work with children.**

Broadly speaking, a protected adult will be in receipt of treatment for a physical or mental condition. Regulated work involves supervising, caring for, assisting and/or being in sole charge of a protected adult and, as with children, this work must be the main focus of the job and not incidental to carrying out these tasks for all students.

**Very few staff working for HE institutions (apart from clinicians) will be providing a service which makes an adult a protected adult.**

If required, HR will initiate a PVG application. It is, however, acknowledged that the delay in receiving clearance of the check may significantly affect the start date of the appointee and, consequently, the activities of the School/Discipline/Directorate.

In these circumstances a Risk Assessment may be undertaken. An assessment of the risk of making the appointment, prior to the full PVG check being completed, may be made by the Discipline/School/Directorate and the approval of the appointment for the date requested on the NAA Form given by the Dean of School by completion of the Risk Assessment form (overleaf).

It should be noted that responsibility for approving the appointment ultimately rests with the Dean so he/she should be entirely satisfied that the risk has been fully assessed.

**PVG DISCLOSURE SCOTLAND CHECK REQUIRED**

[ ] YES [ ] NO (tick appropriate box)
PART 1 – TO BE COMPLETED BY THE APPOINTING DISCIPLINE/SCHOOL/DIRECTORATE

…………………………..(name) has been appointed to the post of ………………. in the School/Discipline/Directorate ……………………… subject to a satisfactory PVG Disclosure Scotland check.

I have carried out a risk assessment and assess the risk of appointing ………………………………(name) prior to receipt of the PVG (Disclosure Scotland) check as high/low *(delete as appropriate) because:

**Low Risk**

☐ General duties will not routinely involve one-to-one contact with children (i.e. under the age of 18) or vulnerable adults

☐ References have been checked

**High Risk**

☐ General duties will involve regular one-to-one contact with children or vulnerable adults.

If considered High Risk, PVG (Disclosure Scotland) Clearance always required prior to appointment unless appropriate measures can be put in place to ensure no sole access to children until clearance received.

Any other comments or matters to be highlighted:-

........................................................................................................................................
........................................................................................................................................
........................................................................................................................................

I confirm that there will be difficulties in maintaining the required level of service if ………………………………..(name) does not take up post by ………………………………..(date on New Appointment Authorisation Form)

NAME .......................................................... POSITION ............................................................

SIGNATURE ........................................ DATE ........................................................................

PART 2 – TO BE COMPLETED BY DEAN OF SCHOOL

*I grant approval to commence ………………………….. (name) prior to receipt of the PVG (Disclosure Scotland) Check*

NAME .......................................................... POSITION ............................................................

SIGNATURE ........................................ DATE ........................................................................

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