


E1. External recruitment

Background

Before reading DFID's rules, you must read and understand the Government Spending Controls published on the  [Cabinet Office website](#).

The Civil Service Order in Council 1995 governs recruitment into the Home Civil Service. The Order in Council sets out the legal basis for our recruitment policies and practice. It requires the Civil Service Commissioner's to provide a recruitment code on the interpretation and application of principles for recruitment into the Civil Service. The principles and this code are mandatory. They must be followed when any post is opened to competition from outside the Civil Service.

Principles

- All recruitment must be on merit and comply with the principle of fair and open competition
- Finding the best available person for the job regardless of age, race, gender, religion, sexual orientation or disability.
- All appointments must be above suspicion of patronage
- Ensure that recruitment procedures reinforce the principle of political impartiality
- Job opportunities are known about and publicised
- Selection is fair and objective at each stage
- Those appointed have the necessary skills and competencies for the job
- We can demonstrate that we have applied our recruitment principles by taking the above steps.

These principles apply to all UK based recruitment but should also apply to any SAIC recruitment undertaken.

Compliance tasks

1. Where vacancies have not been filled through an internal process or where it is known an eligible / suitable candidate is not available internally, recruiters, with advice from HR decide if external recruitment is the best option for filling a vacancy. If it is the vacancy holder is responsible for ensuring a resourcing business case is signed off by the Secretary of state.

Task assigned to: Vacancy Holder

2. All vacancy holders should ensure they follow the external recruitment process, and keep an audit checklist.

Task assigned to: Vacancy Holder

3. Advertised vacancies should be within Director level divisional workforce plans and be approved by the Head of Department on HR Passport.

Task assigned to: Head of Department, Head of Overseas Office

4. Vacancy holders are responsible for ensuring that external advertisements comply with legislative and government requirements.

Task assigned to: Vacancy Holder

5. Heads of Overseas Office are responsible for ensuring local employment legislation requirements are met for Staff Appointed in Country (SAIC) recruitment.

Task assigned to: Head of Overseas Office

Risks of non-compliance

- DFID does not get the best available people to carry out the job, when it needs to be done

- DFID is taken to an Employment Tribunal due to an alleged breach of discrimination on any of the protected characteristics covered by the Equality Act 2010.
- Vacancies remain unfilled
- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act.

E2. Induction

Background

The line manager is responsible for inducting staff new to DFID or new to their team into both DFID and the team.

Induction by Line Manager

Line managers are responsible for induction to post. This is key to helping new staff settle in, learn about their specific role and responsibilities and become effective in their post. It should include detailed discussions about their role, their specific responsibilities (including their compliance responsibilities), their initial objectives and work priorities, and when and how their progress will be reviewed.

Line managers must use the [induction template](#) to plan a structured induction. This details mandatory learning and how to structure an induction.

Compliance tasks

1. Line managers must plan an induction for all new staff, or existing staff who are moving post.

Task assigned to: Line Manager

Risks of non-compliance

- Staff do not quickly become confident and effective in their new role.
- Staff unaware of their responsibility under legislation, DFID Policy and process
- Risk of DFID being taken to employment tribunal where an individual is dismissed and has not received induction to department and/or job, or has not been made aware of their compliance responsibilities

E3. Probation

Background

All DFID staff (including Senior Civil Servants) have a probationary period on first appointment to the Department with the exception of employees who are appointed for 12 months or less or employees who transfer in from other Government Departments. This is six months for permanent staff and six months for staff on fixed term contracts for more than 12 months.

The same periods apply to Staff Appointed In Country (SAIC) staff, unless superseded by local legislation.

Probation is key to identifying and tackling areas of an individual's performance, attendance and conduct that are unsatisfactory. It is also effective as a means for identifying areas of potential and for personal development. It is the responsibility of managers to ensure that a satisfactory level of performance has been reached or be clear with the individual and Human Resources where performance is unsatisfactory.

Staff are eligible to apply for vacancies at the next grade(s) before they have completed their probation but cannot take up a post (at the new grade) until permanency has been confirmed.

Compliance tasks

1. For permanent and pensionable Home Civil Servants, interim probationary certificates should be completed by the line manager and recorded on HR

Passport.

For SAIC, interim probationary certificates will be sent by the person responsible for Human Resource (HR) issues to the line manager.

Task assigned to: Line Manager

2. For Fixed Term contract (FTC) staff whose contracts are due to exceed 12 months, line managers must provide an Interim Probation Assessment of Permanent & Pensionable (P&P) staff at the three month point of their probation. This action must be recorded on HR Passport.

Task assigned to: Line Manager

3. For all staff, Additional Interim Assessments should be held if they are deemed necessary.

Task assigned to: All staff

4. The interim and final certificates completed by the line manager must be endorsed by the Head of Department or Head of Overseas Office on HR Passport.

Task assigned to: Head of Department, Head of Overseas Office, Line Manager

5. If unsatisfactory aspects of the individual's performance / attendance /conduct have been noted by the line manager, full details of the unsatisfactory aspects should be recorded in a minute which - following discussion and agreement with the individual - should be completed by the manager

and sent to HR Admin or HR Manager in country office

This minute must include details of the action plan agreed between the manager and the individual and how it is planned to address the issues during the remainder of the probation period.

Task assigned to: Line Manager

6. Where an individual has successfully completed their probationary period the line manager must complete the Final Probation Certificate, process on HR Passport, which should be endorsed by the Head of Department/Head of Overseas Office, the HR Admin team or local HR Manager, who will issue a letter to the employee confirming their employment.

Task assigned to: Head of Department, Head of Overseas Office, Line Manager, HR Admin team, local HR Manager.

7. If a line manager deems an individual to have not completed their probationary period satisfactorily or is unsure as to whether or not to sign off on the period of probation, they need to contact HR Direct or HR Manager in country offices.

Task assigned to: Line Manager

8. Civil Servants appointed on or after 01/01/2014 will not have access to the Flexible Working Hours Scheme or Season ticket advances until they have successfully completed their probation.

Task assigned to : Line Manager

Risks of non-compliance

- Once any staff member has reached 24 months employment with the organisation, they acquire full employment rights
- This means that DFID, or any other employer, must fulfil a series of resource intensive steps to remove them in the case of indiscipline or poor performance
- Experience has shown that many employees who perform poorly later on, performed poorly during probation but were given the benefit of doubt
- Other risks are the impact on staff morale, damage to the organisation's reputation, costs involved in appeals and tribunals.

E4. Internal recruitment

Background

The internal recruitment procedure for HCS UK based staff provides DFID management with a means of filling jobs from within the organisation, and staff with a means of applying for jobs they want and pursuing their own career objectives.

When departments have a vacancy, they will advertise jobs on Peoplesight via the e-recruitment system. This can be done at anytime throughout the year.

Staff Appointed In Country (SAIC) are eligible to apply for third country posts overseas within their current grade. Where a post is open to SAIC this will be made clear in the job advert. SAIC are not eligible to apply for UK posts.

Each DFID overseas office operates its own internal recruitment system for SAIC in country, and these systems will vary across locations, dependent on the size of the offices, and the availability of internal recruitment opportunities.

Fast stream posts are subject to a separate post bidding arrangement and have separate guidance and posting timetable.

Compliance tasks

Human Resources tasks

1. Advertised vacancies should be within Director level divisional workforce plans.

Task assigned to: Head of Department, Head of Overseas Office

2. Follow the internal recruitment process.

Task assigned to: Vacancy Holder

3. Adverts should be placed only once a vacancy has been confirmed in the organisation structure of HR Passport.

Task assigned to: Head of Department, Head of Overseas Office.

4. Adverts created for known vacancies in the e-recruitment system, following correct procedures.

Task assigned to: Vacancy Holder and panel

5. Rank the suitability of each applicant on the e-recruitment system, basing any decision solely on the evidence presented.

Task assigned to: Vacancy Holder

6. Submit on-line applications through the e-recruitment system by the specified closing date on

individual adverts.

Task assigned to: All Staff

Risks of non-compliance

- DFID is taken to an employment tribunal due to an alleged breach of discrimination on any of the protected characteristics covered under the Equality Act 2010.
- Negative impact on staff morale
- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act (HRA).

E5. Performance management for Senior Civil Servants (SCS)

Background

The SCS is a central resource with a common framework of terms and conditions and arrangements for career management and training across all Government Departments. The Minister for the Civil Service has not delegated SCS pay to individual Departments. The total reward package for the SCS is designed centrally to attract, retain, engage and motivate senior leaders, professionals, and specialists of the right calibre to deliver business objectives.

Each Government Department has to have a Pay Committee and Pay Strategy in place to show how the Department will manage the process in line with central guidance.

Compliance tasks

1. Beginning of the Reporting Year - Jobholder agrees with manager priority business objectives and Cabinet Office defined objectives for the coming year and reach a performance agreement and development plan for the year ahead.

Task assigned to: All staff

2. In October, Mid Year Reviews must be completed.

Task assigned to: All staff

3. March -DG's and Directors request mandatory 360 feedback on their direct reports.

Task assigned to: Director

E6. Performance management for staff A1 and below

Background

DFID's Performance and Career Management System aims are to help HCS and SAIC staff and their managers to focus throughout the year, on:

- Continual development
- Improving their performance and that of the Department
- A continuous appraisal of performance, development, conduct and attendance

And at the end of the year to:

- Assess overall performance being achieved by Job Holder (JH) in their current post
- Make an optional promotability assessment as part of the end of year process

Directors/Heads of Department/Heads of Overseas Office must ensure processes are in place across their Department/Division/Office for:

- Setting and agreeing stretching objectives and personal development plan in line with business priorities.
- Effective and continuous performance management throughout the year
- Rigorous quality assurance and moderating processes
- Monitoring compliance with the Performance and Career Management Guidance and DFID's Equal Opportunities Policy
- Intervening if non-compliance with the Guidance or discrimination is suspected.

Compliance tasks

1. Start of year - Agree business related objectives for teams and Jobholders

Task assigned to: All staff, Head of Department, Head of Overseas Office, Line Manager

2. Start of the year - Personal Development Plan for the year ahead must be agreed in the Performance Management Form.

Task assigned to: All staff, Line Manager

3. During the year - Reporting Officer (RO) and JH to meet regularly, record evidence of JH performance, review progress on objectives and development plan and update the PMF if any changes.

Task assigned to: All staff, Line Manager

4. During the year - informally moderate to ensure consistency of standards across teams.

Task assigned to: Line Manager

5. Mid Year - Mid Year Reviews (MYR) must be completed and recorded in the PMF by 31 October.

Task assigned to: All staff, Line Manager

6. End of year - Divisional moderating of performance levels, and readiness for promotion.

Task assigned to: Director, Head of Department

7. End of the year - Complete final review including informing JH of their ratings following moderation and complete PMF and any promotion assessment.

Task assigned to: All staff, Line Manager

8. End of the year - The QA must sign off the end of year performance review by mid May. If appropriate the RO will complete optional promotability assessment form once QA signs off PMF.

Task assigned to: Line Manager

Risks of non-compliance

- Failure to properly manage staff means we are not maximising staff's potential to contribute effectively to DFID, for both their own and DFID's overall benefit
- Potential for lowering of morale and wasting of resources
- DFID may face skills and ability shortages and may have to conduct additional external recruitment
- Patchy or inconsistent management of performance across the organisation.

E7. Discipline

Background

Organisations must have disciplinary procedures, both a three-step procedure for use during employment, and a modified two-step procedure for when the employee is no longer employed.

The overall purpose of the DFID Disciplinary Procedure is to provide a framework within which managers can formally address with their staff failure to meet standards of performance or conduct.

If an associated grievance is raised, the Line Manager may wish to put the disciplinary process on hold and investigate the grievance and then, if necessary, return to the disciplinary process later.

Compliance tasks

The Standard Disciplinary Procedure is made up of three stages:

1. Stage A - The Line Manager (at least B2 grade) must set out in writing the allegation, inviting the employee to a meeting to discuss the matter (and telling them of their right to be accompanied by a DFID colleague or Trade Union/Staff Association representative). In cases of alleged gross misconduct, bullying, harassment or unlawful discrimination, the manager must always be at Head of Department/Head of Overseas Office level or higher.

Task assigned to: All Staff, Line Manager

2. Stage B - The Line Manager must hold a Disciplinary Meeting (normally within 21 working days of the invitation to attend). The Line Manager

will then communicate their decision in writing, setting out outcomes and sanctions, and advises the employee on their right to appeal within 14 working days.

Task assigned to: All Staff, Line Manager

3. Stage C - Appeal - If the employee wishes to appeal this will be heard at the next level of management (the 'appeals officer') following receipt of the decision under Stage B. The appeals officer must invite the employee to a Disciplinary Appeal Meeting to discuss the matter (reminding them of their right to be accompanied) then communicate their decision in writing.

Task assigned to: All Staff, Line Manager

4. Where an allegation of fraud or corruption is being made this must be reported immediately to the Head of Internal Audit Department or the Fraud Response Manager who will manage the necessary investigation, liaising with the Case Management Team in Human Resources Division as necessary.

Task assigned to: All Staff

Risks of non-compliance

- Failure to follow the three-step process can invalidate the procedure and any outcomes.
- Legal challenge for unfair dismissal (in some circumstances, even when an employee resigns). If the employer has not followed the minimum procedure, then the dismissal may be judged

'automatically unfair'. Compensation can increase by up to 50%.

- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act (HRA).

E8. Grievance

Background

Organisations must have a grievance procedure in place. A three-step procedure for use during employment, and a modified two- step procedure for when the employee is no longer employed.

A grievance is defined as "A complaint brought by an employee about their work, or about actions (by their employers, their employers' clients or their fellow employees) which affect them."

Serious issues raised could lead to the grievance procedure being put on hold while disciplinary investigations are undertaken.

Compliance tasks

1. Stage A - The person with a grievance writes formally to their Line Manager setting out their complaint, copied to the Case Management Team.

Task assigned to: All Staff, Line Manager

2. Stage B - The Line Manager considers the written grievance and carries out any investigation or consultation as may be required. Before reaching a decision the employee must be invited to a meeting to discuss the matter. Stage B should be completed

within 21 working days. The Line Manager then takes a decision and communicates the outcomes in writing to the complainant.

Task assigned to: All Staff, Line Manager

3. Stage C - Appeal - If the complainant wishes to appeal this is heard at the next level of line management and must be made within 14 working days following receipt of the result of the meeting at Stage B.

Task assigned to: All Staff, Line Manager

4. Where a grievance relates to suspected fraud or corruption this must be raised immediately with the Head of Internal Audit Department or the Fraud Response Manager who will manage any subsequent investigation.

Task assigned to: All Staff, Head of Department, Head of Overseas Office, Line Manager

Risks of non-compliance

- Failure to follow standard three-step grievance process can invalidate the procedure requiring that the grievance is dealt with at a higher level
- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act (HRA).

E9. Staff Appointed in Country (SAIC) Pay Determination

Background

Her Majesty's Treasury (HMT) Delegation states that DFID's Staff Appointed In Country (SAIC) must be paid according to the local market practice. Overseas offices, therefore, need to undertake fundamental pay and benefit reviews to ensure that they are receiving a package comparable to staff working for other local employers doing similar work. All DFID pay and benefit related reviews will be carried out as a joint exercise with FCO colleagues - with the objective to Harmonise the packages, as best possible, of both sets of locally engaged staff.

Fundamental pay and benefit reviews should be undertaken every three years or when a Head of Overseas Office provides evidence to Human Resources Division (HRD) that the office is facing a recurring recruitment and retention problem. Offices should also track pay adjustments of local employers in each of the two years between a fundamental pay and benefits review by undertaking annual light touch pay reviews - ensuring that pay remains comparable to local employers.

We should not lead the market but our salary scales need to attract the right staff with the right skills. Pay and benefits are therefore determined by comparison with competing organisations in the local market taking into account affordability issues. Pay rates for both DFID and FCO will be set between the 40-60th percentile of local employers pay ranges and benefits will align to the generality of local employer practice.

Any pay and benefit submission for DFID needs to be signed-off by both Regional and HRD Directors. All information must be saved to Quest.

Although SAIC have separate arrangements for determining their pay, they share similar arrangements with HCS staff for the award of bonuses related to performance via the Performance Management System.

Compliance tasks

1. An external benchmarking exercise to establish rates of pay and terms and conditions must be conducted in accordance with the harmonisation guidance.

Task assigned to: Head of Overseas Office

2. Affordability must be factored into any pay deal.

Task assigned to: Head of Overseas Office

3. DFID must undertake reviews jointly with FCO colleagues (where DFID and FCO operate in the same country).

Task assigned to: Head of Overseas Office

4. DFID offices should follow FCO's local approach for tax collection - where practical and in agreement with SAIC.

Task assigned to: Head of Overseas Office

5. Auditable records of all data used to produce pay proposals must be saved in Quest by each office.

Task assigned to: Head of Overseas Office

6. Regional and HRD Directors approval must be sought for all pay awards.

Task assigned to: Director.

HRD are responsible for producing and maintaining corporate guidance and available to provide advice during the review process.

Risks of non-compliance

- Loss of skilled local staff if we do not keep pace with the local market salary trends
- Failure to recruit and retain the right staff
- Penalties imposed by Treasury for failure to follow delegated pay guidelines
- Contravene Executive Management Committee (EMC) directive if progress is not made to Harmonise with FCO.

E10. Maximising attendance

Background

DFID's Maximising Attendance policy and procedures are aimed at encouraging good attendance, supporting a culture which treats all sickness absence seriously and supporting employees through periods of ill health.

The policy applies to HCS and SAIC employees equally.

The aim of the policy (and its associated procedures) is to ensure that everyone is aware of their responsibilities in maximising attendance, to enable the consistent management of attendance issues, and to underline DFID's commitment to the provision of appropriate employee support.

Compliance tasks

1. Staff - Inform their line manager of any sickness absence by telephone by 10am on the first day of absence. Keep regular contact with their line manager should their absence continue. Line managers should open the sickness absence on HR Passport.

Task assigned to: All staff, Line managers

2. Staff - Present a GP Fit Note to their line manager for any absence over 7 calendar days. Fit notes should cover the full period of absence from the 8th day onwards and be submitted on the date they are due. Line managers will then forward these to HR Admin for retention.

Task assigned to: All staff

3. Staff - On return to work staff are required to close their absence on HR Passport. This should be done on the day of return to work.

Task assigned to: All staff

4. Managers - Ensure accurate recording of all absences in their team on HR Passport.

Task assigned to: Line manager

5. Managers - Monitor absences of staff in their area of responsibility, taking appropriate action where necessary.

Task assigned to: Line manager

6. Managers - When first contacted by a staff member on the first proposed date of sick absence, the manager should cover the following points:
 - a) The reason for absence
 - b) Likely length of absence
 - c) Alternatives to sick absence, where appropriate

- d) Cover for the outstanding or urgent work
- e) Arrangements for keeping in touch during sick absence.

Task assigned to: Line manager

- 7. Managers - maintain regular contact with staff during their absences, agreeing with the staff member the frequency of ongoing communication.

Task assigned to: Line manager

- 8. Managers - Conduct a return to work discussion with staff following every absence, regardless of duration, on the day they return to work.
Details/dates should be recorded on HR Passport.

Task assigned to: Line manager

- 9. Managers - Conduct a formal attendance review meeting when an employee's absence exceeds the trigger levels set out in the policy (5 occasions or 10 days sickness absence in any 1 year period), or if the reason for individual or cumulative absence gives cause for concern. Details/dates should be recorded on HR Passport.

Task assigned to: Line manager

- 10. Heads of Department/Heads of Overseas Offices -
Heads of Department should monitor sick absence within their department and ensure staff and line managers are aware of their responsibilities and that appropriate action is taken where necessary.

Task assigned to: Head of Department, Head of overseas office

[HR Direct](#) are responsible for providing support and guidance to enable the policy to work effectively in DFID.

Risks of non-compliance

- Staff not supported through periods of absence and absence not managed effectively.
- High absence levels impact DFID's ability to deliver its objectives.

E11. HR Passport

Background

HR Passport is DFID's HR system which allows HCS and SAIC, in the UK and overseas, to enter and update their personal/work details. Some changes made on HR Passport update the Database in real time which must first be confirmed by HR or the appropriate user. The HR database supports a significant number of other DFID Information System (IS) processes, such as DFID Connect, Absence Management, and the Performance Management system.

HR Passport also provides DFID staff with a number of value adding processes such as on-line payslips, online CVs online claims for time and expenses and absence and leave recording. Individual HR passport screens include personal information which staff should protect.

Compliance tasks

All staff must

1. Maintain the integrity of the information held on HR Passport. It is essential that all DFID staff regularly review/update their own personal details on this database.

Task assigned to: All staff

2. Ensure their performance management reporting line details on HR Passport are accurate as this affects a wide range of DFID corporate systems.

Task assigned to: All staff

3. Fully comply with the department's prescribed Information Systems (IS) security protocols, such as not leaving their computer terminals without appropriate screen saver protection.

Task assigned to: All staff

Risks of non-compliance

- Personal information on the HR Database will be inaccurate
- Related DFID systems relying on data held on the HR database (particularly DFID Connect) will be inaccurate
- HR Staff will have to complete more administrative work to correct/update personal data
- Staff will not be able to complete key performance documentation such as PMFs, or to apply for posts using the electronic recruitment system

E12. Annual Leave, Career Breaks, Discretionary Leave, and Parental Leave

Background Annual leave

Annual leave allows staff time off for rest and relaxation, to fulfil their social and family obligations and pursue leisure activities. It is very important that staff use their full entitlement. The best way to achieve this is to plan leave well in advance and agree it with line managers in order to ensure that both organisational and personal needs can be met.

Employees cannot claim the right to take leave at any particular time of the year. Employees should also be aware of DFID's policy on time off for religious festivals.

Staff Appointed In Country (SAIC) annual leave entitlement varies according to local law, but it should not be less than 24 days for full time staff (including public and privilege holidays).

Parental leave

This is a form of unpaid leave, provided for under UK law, which enables parents to look after their children or to make arrangements for the child's welfare.

The same principles relating to Parental Leave apply to Staff Appointed In Country (SAIC), however this is at the discretion of Heads of Offices taking account of local custom and practice.

Discretionary leave

There are three types of discretionary leave. These are

1. Short term paid leave
2. Short term unpaid leave
3. Long term unpaid leave

Long term unpaid discretionary leave replaces DFID's previous policies on career breaks and long term special leave without pay.

Employees who have 12 months' satisfactory service, conduct and attendance will be eligible to apply for long term unpaid leave for the following reasons only:

- To care for children and other dependents
- On compassionate grounds - for serious personal and family reasons
- To accompany their (DFID) partner overseas.

Volunteer Reservists

If you wish to join the reserve forces (or renew your interest), you must obtain prior approval from your line manager.

If you wish to apply for High Readiness Reserve Status, you must seek approval from your Head of Department.

Reservists must notify their line managers when they receive their call out papers.

Managers and reservists must agree how to keep in touch over the mobilisation period.

All reservists must supply their next of kin details.

Once the Reservist knows the end date of the tour, Managers and Reservists must agree their return to work date and inform HR Admin.

All reservists must supply documentation to their line manager that confirms the last day they have been paid by the reserve forces.

Duration

- Paid discretionary leave is normally for a maximum period of five working days (or pro-rata for reduced hours workers)
- Unpaid short term leave is for a maximum period of three months
- Unpaid long term leave is for a maximum period of three years.

Compliance tasks

1. Short term paid discretionary leave

There is no formal process just make your request to your line manager as soon as reasonably practicable.

Task assigned to: All staff, Line manager

2. Short term paid discretionary leave:

a. Employee must complete the form and provide as much notice as possible

b. If approved, the Line Manager must confirm the return date in writing

c. Line manager must keep the employees post open for the duration of the leave period

d. Line manager must maintain reasonable contact with employees during their leave period

e. Line manager must contact employee at least two weeks before return date to discuss return arrangements

f. Employee must return on the agreed date. If not, this will be viewed as unauthorised absence and could be a disciplinary offence.

Task assigned to: All staff, Line manager

3. Long term unpaid discretionary leave - up to three years

a. Employee must submit written request at least three months before proposed start date

b. Line manager must decide if they are willing to support this application - consulting as necessary

c. Director must keep the employee's post open for

the duration of the leave period if they approve the application as employee has a guaranteed right of return

d. Employee must fulfil all of the conditions below to retain their guaranteed a right of return. If employees do not comply with these conditions, they will lose their right to return to a post and could face disciplinary action.

e. The employee is not permitted to take up any external employment while on long term discretionary leave for caring or compassionate grounds - unless the intended hours of work fall outside recognised standard DFID office hours. Employees Head of Department must approve any other employment in order to avoid any conflict of interest with the terms of Civil Service employment.

f. The employee is required to keep in touch with their line manager at regular intervals which are to be agreed in advance of the leave

g. The employee must return on the specified date, agreed at the start of the leave

h. The employee must resign if they take up alternative employment that has similar hours to their contracted hours with DFID. Failure to do so will be regarded as misconduct and could result in dismissal. The employee must write to their line manager, three months before their specified return date, to confirm that they intend to return to work or provide at least two weeks notice if the leave has been agreed for six months or less

i. The employee must repay any outstanding loans prior to beginning the leave. (END OF

CONDITIONS)

j. The line manager will contact the employee at least one month before their return date to confirm their return arrangements

k. If the employee wants to change their return to work date they must give the following periods of notice to their line manager:

- Long term leave of fewer than six months - a minimum of one month's notice
- Long term leave of more than six months - a minimum of three months notice.

l. The employee must return to work on the agreed date. If they do not return this will be treated as unauthorised absence which is a disciplinary offence.

Task assigned to: All staff, Director, Head of Department, Line manager

4. Parental leave

a. Parents - natural or adoptive parents - can qualify for unpaid parental leave of up to 18 weeks unpaid leave until the child's 5th birthday, or for adoptive parents within the fifth anniversary of adoption or the child's 18th birthday - whichever comes first - or until the child's 18th birthday if the child has a disability.

b. The qualifying criteria for unpaid parental leave is explained in the People pages on inSight. Each parent is entitled to take 18 weeks unpaid parental

leave for each child

c. Staff who meet the eligibility criteria must give a minimum of 21 days notice of their intention to take parental leave.

d. Staff are guaranteed the right to return to the same job provided the parental leave period is for no more than a four week block. If the period of leave is longer than four weeks, the employee is guaranteed to return to the same job or an alternative job with similar terms and conditions

e. If parental leave follows maternity or adoption leave, the right to return is:

- If the employee: extends ordinary maternity or adoption leave by up to 4 weeks, the right to return to the same job remains

- If the employee: extends additional maternity or adoption leave by up to 4 weeks, the right to return to the same job or equivalent job. If no job is available the employee may be made redundant.

Task assigned to: All staff, Line manager

5. Annual leave

a. All annual leave will now be managed in HR Passport. Employees will submit requests for annual leave and Line Managers are responsible for authorising and monitoring use

b. Line managers must ensure sufficient staffing levels at all times to meet business needs i.e. job-holders cannot claim the right to take leave at any particular time of the year

- c. The best way to meet both individual and business needs is to plan leave well in advance and ensure it is agreed with managers
- d. Both line managers and employees must ensure all leave is taken, with limits to the level of carry-over allowed

Task assigned to: All staff, Line manager

Risks of non-compliance

DFID needs to be responsive in order to meet the needs of our staff as it is our policy to employ a diverse workforce. If we fail to do so, we risk:

- Losing quality staff with skills that are vital to the organisation
- Increased sick absence rates
- Reduced staff morale
- Increased stress levels
- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act (HRA).

In the case of Parental Leave, we risk legal action should we not comply with the legislation.

E13. Maternity, Paternity and Adoption rights

Background

DFID provides, as a minimum, the UK statutory maternity and adoption leave and pay package for UK based staff working in the UK and overseas and non-UK nationals recruited in the UK. We provide a significantly enhanced contractual package for pregnant employees and adoptive parents who meet certain conditions, based on length

of service and a commitment to return to work for at least one month after their period of leave.

Overseas offices are expected to apply the principles set out in inSight to staff

Appointed In Country (SAIC), and to observe any additional local labour laws. SAIC's

Maternity leave provisions should accord with local domestic employment legislation for SAIC employed from 01 June 2009 this is subject to a minimum entitlement of three months full pay for maternity and adoption provision. For staff employed prior to 01 June 2009, local custom and practice or if more favourable, the UK standards. SAIC, employed prior to 01 June 2009 will receive the more favourable package - picking the best bits from each package is not permitted.

As maternity and adoption rights are particularly complicated, staff should consult [People](#) for full details.

In précis, however, these rights fall into the following main headings:

- Health and safety at work
- Time off for antenatal care
- Maternity leave
- Maternity pay or benefit
- Terms and conditions and
- Protection against unfair treatment or dismissal, and the right to return to work.

DFID's ordinary paternity provision is 10 days leave on full pay. Additional Paternity Leave allows eligible employees to take up to 26 weeks leave to care for their new child. Full details are on [People](#). Adoption rights broadly reflect maternity rights.

Compliance tasks

1. Maternity leave

The compliance tasks below reflect UK entitlements.

The compliance requirements for SAIC will vary from country to country, depending primarily on local law.

Task assigned to: All staff

2. DFID must assess the risks to the health and safety of employees who are pregnant, have recently given birth or are breastfeeding. The Risk Assessment Officer must advise any action to ensure they are not exposed to those risks, including the offer of suitable alternative employment.

Task assigned to: All staff, Health & safety officer

3. A pregnant employee must be given a reasonable amount of paid time off to keep antenatal appointments, relaxation classes, etc.

Task assigned to: All staff, Line manager

4. To take advantage of maternity leave, a pregnant employee must tell their Line Manager, no later than the end of the 15th week before her baby is due or as soon as reasonably practicable:
 - a. That she is pregnant
 - b. The expected week of childbirth (EWC)
 - c. The date she intends to start her maternity leave.

Task assigned to: All staff, Line manager

5. An employee can change her intended maternity start date as long as she gives 28 days notice.

Task assigned to: All staff, Line manager

6. The employee must provide line managers with a maternity certificate (normally MAT B1) or relevant overseas documentation after the 20th week of pregnancy.

Task assigned to: All staff, Line manager

7. All pregnant employees are entitled to 26 weeks Ordinary Maternity Leave (OML) provided that the notification requirements are met. OML must start no earlier than the 11th week before the EWC. It may be paid or unpaid (see Maternity Pay below) and counts for assessing seniority, pension rights, pay progression.

Task assigned to: All staff, Line manager

8. All pregnant employees have the right to Additional Maternity Leave (AML) of up to 26 weeks. This must begin immediately after the period of OML. For weeks 27-39, employees will receive SMP or an equivalent payment if SAIC staff. The pension arrangements for this period are as follows - the 13 weeks will count in full for pensions purposes, if the employee worked reduced hours prior to receiving SMP they will be treated as part-time, for pension purposes, during the SMP period. The employee will pay pension contributions based on the SMP amount received, the employer pension contribution will be based on the salary normally received. Weeks 40-52 will be unpaid. This period counts as qualifying but not reckonable service for pension

purposes.

Task assigned to: All staff

9. All pregnant employees must take at least two weeks compulsory maternity leave from the date of giving birth.

Task assigned to: All staff, Line manager

10. A pregnant employee with less than 41 weeks continuous service at the EWC is not entitled to Statutory Maternity Pay from DFID while on maternity leave. HR Admin must explain why she does not qualify and provide her with form SMP1 as soon as possible.

Task assigned to: All Staff, Line manager

11. A pregnant employee with at least 41 weeks but less than 52 weeks continuous service by the EWC will qualify for Statutory Maternity Pay from DFID for up to 39 weeks. (Full qualifying conditions are set out in People)

Task assigned to: All staff, Line Manager

12. A pregnant employee with at least 52 weeks continuous service by the EWC will qualify for full pay (DFID's enhanced maternity package) for 26 weeks while on OML. (Full qualifying conditions are set out in People)

Task assigned to: All staff, Line manager

13. Managers must make reasonable contact with employees who are on maternity leave. Employees on maternity leave have the right to be consulted over a range of matters e.g. proposed redundancies or re-organisation.

Task assigned to: All staff, Line manager

14. Terms and Conditions - All contractual benefits except salary will continue during ordinary and additional maternity leave.

Task assigned to: All staff

15. DFID cannot dismiss an employee during her pregnancy, ordinary or additional maternity leave, or select her for redundancy in preference to other comparable employees, solely or mainly because she is pregnant or given birth.

Task assigned to: All staff, Line manager

16. DFID must follow Government Legislation and notify employees of significant changes in legislation.

Task assigned to: All staff

17. An employee returning to work after OML has the right to return to the same job with the same terms and conditions as if she had not been absent (unless a redundancy situation has arisen).

An employee returning to work after AML is entitled to have the same job back on the same terms and conditions, unless a redundancy situation has arisen or there is some other reason why it is not

reasonably practicable for the employer to take her back in her original job in which case she is entitled to be offered a suitable alternative vacancy.

Task assigned to: All staff, Line manager

18. Ordinary paternity leave

Employees who meet the following qualifying conditions will be entitled to 10 days ordinary paternity leave on full pay. They must:

- a. Have worked continuously for DFID for 26 weeks ending with the 15th week before the baby is due
- b. Be the biological father or the mother's husband or partner
- c. Have or expect to have responsibility for the baby's upbringing.

Task assigned to: All staff

19. To take advantage of paid paternity leave the employee must tell their line manager no later than the end of the 15th week before the expected date of childbirth of when they plan to take the leave. They will then submit the request on HR Passport. Line Managers will approve on the system. The actual leave must be taken within 56 days of the baby's date of birth.

Task assigned to: All staff; Line managers

20. With the agreement of line managers, Paternity Leave must be taken as either two consecutive weeks or two blocks of one week.

Task assigned to: All staff

21. Any paid benefits will be counted as continuous employment and will therefore count towards seniority, pension rights, pay progression etc.

Task assigned to: All staff

22. Adoption Leave

Adoption leave and pay is available to individuals who adopt and to one member of a couple where a couple adopt jointly. The couple may choose which partner takes adoption leave. Paternity Leave and Pay may be available to the other member of the couple.

Task assigned to: All staff

23. Adoption Leave and Pay rights largely mirror those for Maternity Leave and Pay as described above. Additional or specific conditions are described below. Applications for adoption leave must be submitted on HR Passport.

Task assigned to: All staff

24. To qualify for adoption leave an employee must:
- a. Be newly matched with a child under 18 years old for adoption by an adoption agency
 - b. Have worked continuously for DFID for 26 weeks leading to the week in which they are told they have been matched with a child
 - c. Continue to work for DFID until the date of

placement.

Task assigned to: All staff

25. Adoption Leave can start no earlier than 14 days before, and no later than, the placement date.

Task assigned to: All staff

26. Most employees who are eligible for adoption leave will be entitled to at least Statutory Adoption Pay during their period of Ordinary Adoption Leave.

Task assigned to: All staff

27. If an employee does not qualify for Statutory Adoption Pay, HRD must explain why and provide them with form SAP1 as soon as possible.

Task assigned to: All staff

28. Employees who have worked continuously for 52 weeks ending with the week in which they are notified of being matched with a child will be eligible for full pay for 26 weeks whilst on Ordinary Adoption Leave.

Task assigned to: All staff

29. For weeks 27-39 employees will be paid Statutory Adoption Pay or equivalent payment. Weeks 40-52 are unpaid.

Task assigned to: All staff

30. Additional paternity leave

- a. Employees must confirm their intention to take Additional Paternity Leave(APL) at least 8 weeks before the intended start date - refer to APL policy for qualifying conditions
- b. Both the employee and the mother/primary adopter must sign statutory written declarations on the appropriate form - refer to the APL process
- c. The employee cannot start Additional Paternity Leave until the mother/primary adopter has returned to work
- d. Employees must give at least 6 weeks notice to their line manager if they wish to change the date of their leave
- e. The line manager must, 2 weeks prior to the return date, confirm in writing the details of the posting to the employee
- f. The line manager must write to the employee immediately if they fail to return to work on the agreed date.

Risks of non-compliance

DFID needs to be responsive in order to meet the needs of our employees in relation to maternity/adoption rights as it is our policy is to employ a diverse workforce. All of these rights are underpinned by law. If we fail to do so, we risk:

- Losing quality staff with skills that are vital to the organisation
- Increased sick absence rates
- Reduced staff morale
- Increased stress levels
- Discrimination claims
- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act (HRA)

E14. Flexible working

Background

Employment law rules that all staff with a child under the age of 17 or a disabled child under the age of 18 and employees who have caring responsibilities for an adult aged 18 or over have the right to apply for flexible working and DFID has a duty to give each request due consideration. This right applies to all permanent or fixed term staff in the UK, as long as they meet the necessary criteria.

SAIC are entitled to apply for any form of flexible working, however it is at the discretion of the Head of Overseas Office to decide whether it is possible to grant this.

Compliance tasks

1. Line managers should give due consideration to all flexible working requests from staff and seek to negotiate a suitable compromise should the initial request not be viable. Line managers are responsible for ensuring work is delivered, while trying to meet the needs of individuals wherever possible. New arrangements can be tested on trial for a period of up to 6 months.

Task assigned to: All staff, Line manager

2. Heads of overseas offices should consider flexible working requests from SAIC and UK-Based staff on a case-by-case basis. All requests should be given due consideration, taking into account the structural and logistical constraints that apply in overseas offices.

Task assigned to: All staff, Head of overseas office

3. If a request for flexible working cannot be met and no alternative can be agreed, line managers must clearly outline the business reasons for this in writing to the individual and Head of Department/Overseas Office.

Task assigned to: All Staff, Head of Department, Head of overseas office, Line manager

4. Formal arrangements reflecting a contractual change of hours must be submitted and approved on HR passport.

Task assigned to: Line manager

Risks of non-compliance

Staff are attracted to DFID because of, amongst other things, its comprehensive work/life balance policies.

If DFID fails to take account of our staffs' need or desire to work flexibly, we may risk:

- Not being able to retain quality staff that possess skills that are vital to the organisation
- Increased sick absence rates
- Reduced staff morale
- Increased stress levels
- Legal challenge for failing to give request due consideration

E15. Secondments and Interchange

Background

In line with the rest of Whitehall, DFID's policy is to encourage inward and outward secondments where there is a mutual benefit to the host and parent organisations.

An inward secondment is when another organisation's employee temporarily joins DFID.

An outward secondment is when a DFID employee temporarily joins another organisation.

A business case is required before a secondment can be approved.

Secondment of Staff Appointed In Country (SAIC) should be arranged by the employing DFID country office, although this template and associated guidelines may be followed.

Compliance tasks

1. HR assigned tasks

An agreement between DFID and the parent organisation (A memorandum of Understanding or Partnership agreement) must either be in place, or be put in place before a secondment can proceed.

HR must complete an exchange of letters covering terms of each secondment.

Task assigned to: All staff, Recruiter task

2. Staff members or departments requesting an Inward Secondment must first prepare a Resourcing Business Case in line with guidance set out within Resourcing Policy and Procedures on inSight. Staff members requesting an Outward Secondment must first prepare an outward secondment business case taking into account the Director level divisional workforce plan.

Task assigned to: All staff, Recruiter

HoD, HoO task

3. Both Inward and Outward business cases must be supported by the Head of Department / Overseas office and signed off at Director level.

Task assigned to: Head of Department, Head of Overseas Office

Line manager, Recruiter task

4. All inward secondees must have the appropriate level of security clearance before starting their secondment.

Task assigned to: Line manager, Recruiter

Risks of non-compliance

- Secondees unable to take up position
- Failure in duty of care to staff and others
- Detrimental impact on staff resourcing and planning

E16. Workforce and Development Planning

Background

To maximise its impact DFID needs to place the right people with the right skills in the right jobs at the right time. This requires good planning, forecasting, job design, specification and grading, good selection processes, and arrangements for identifying and developing talent.

At an individual level, everyone is responsible for their continual learning and professional development, while line managers should ensure that an enabling learning and development environment is created.

Line managers are responsible for supporting individuals through the Performance Management System (PMS) process. This includes helping individuals analyse the learning and training implications of their future work, as well as evaluating the impact of any previous learning activity on their performance.

HR Business Partners and the Learning and Development Team are available to support this process.

Compliance tasks

1. Divisions, Departments and Overseas Offices

All Heads must comply with Human Resources Division's (HRD) requests for staffing forecasts.
Task assigned to: Head of Department, Head of Overseas Office

HRD

2. HRD must maintain soundly based projections of staffing and skills requirements and plan and implement recruitment, and exits accordingly
3. HRD must ensure that appropriate arrangements for the selection of individuals for jobs, promotion and any special development arrangements are in place and regularly reviewed
4. HRD must maintain and operate appropriate systems for identifying and developing talent at all levels and from all areas of the organisation.


Risks of non-compliance

- DFID will not make optimum use of the resources and people at its disposal
- Individuals will not receive the support and development they need
- DFID will fail to make accurate statistical returns to central government


- Risk of attracting criticism from the National Audit Office (NAO).

E17. Diversity and inclusion

Background

Before reading our rules, you must read and understand the Government Spending Controls published on the  [Cabinet Office website](#).

Our commitment to equality and diversity means providing a workplace that is welcoming and respectful. Building diversity and inclusion into our planning and day-to-day operations is a core part of being an effective organisation.

In line with the new Equality Act 2010 and the government's priorities to reduce bureaucracy and improve transparency, we have developed a new approach to equality and diversity, set out in  [The Equality Framework](#). The Framework focuses on the contribution Diversity and Inclusion can make to our organisational vision and priorities. It covers the statutory outputs that DFID must meet: In particular reporting on equality and diversity and setting Equality Objectives for up to four years from 2012.

Compliance tasks

1. All staff and line managers must ensure that discrimination, victimisation and bullying or harassment does not occur in the Workplace and in the delivery of our services. We operate a zero tolerance policy on discrimination, bullying, harassment and victimisation.

Task assigned to: All staff, Line manager

2. All staff must work to eliminate discrimination in the workplace, promote equality of opportunity and create an inclusive working environment by

fostering good relations.

Task assigned to: All staff

3. A key legal requirement is to consider equalities throughout the drafting and revision process for new policies, processes or systems, when undertaking any form of restructuring or redundancy exercises and to measure the impact of our spending decisions. There is a streamlined screening tool to apply to such initiatives. More on all these points and the tool can be found on inSight.

Task assigned to: All staff

4. Ensure that screening has been carried out.

Task assigned to: Director, Head of Department

5. Confirmation must be made in the Annual Statement of Assurance, that staff are aware of our legal obligations under the Public Sector Equality Duty.

Task assigned to: Director

Risks of non-compliance

The risks of non-compliance with the Equality Act 2010 and applying due regard are significant, both to the organisation and the individual. We could face significant legal and reputational costs in addition to:

- Being less effective in the delivery of our business
- Increasing numbers of grievance and disciplinary cases
- Increased stress levels of staff

- Losing quality staff that possess skills that are vital to the organisation
- Increased sick absence rates
- Reduced staff morale.

E18. Job grading

Background

We have grades to show the level and weight of every job in the organisation (no matter what the particular function or geographical location) instead of using lengthy descriptors.

They ensure that we meet our legal obligations regarding equal pay for work of equal value and that there is a clear link between pay and job weight.

The grading system allows for clearly defined levels of responsibility among individual posts and so contributes to better team understanding and working.

Grading in DFID is based on the Cabinet Office Job Evaluation and Grading Support (JEGS) methodology.

Job Grading guidance has been developed to enable departments to take their own decisions on the grading of jobs rather than resorting to a formal JEGS exercise.

Compliance tasks

1. Directors have overall responsibility to determine divisional arrangements for identifying the right grade for a post, or a group of posts.

Task assigned to: Director

2. In the case of new posts, or where the proposal is to downgrade existing posts, departments will be free to decide at which level these decisions should be

taken.

Task assigned to: Head of Department, Head of Overseas Office

3. In the case of upgrading an existing post, while line managers and post holders will have the opportunity to contribute to the grading process, the authority from within the Division must be provided as per the table below.

Task assigned to: Head of Department, Head of Overseas Office, Line manager

4. Directors are also required to confirm, in their annual statements on their Personal Responsibility Plans (PRP), that all posts in their commands conform to the standards set out in this Guidance.

Task assigned to: Director

Upgrading an existing post

For upgrading existing posts, although line managers and staff will be involved in the process, the following level of authorisation within the Division will be needed.

Upgrades from	Authorised by
C2 to C1	A1 / Head of Department
C1 to B2	A1 / Head of Department
B2 to B1	A1 / Head of Department

B1 to A2(L)	Head of Department
A2(L) to A2	Head of Department /Deputy Director
A2 to A1	Director

Risks of non-compliance

- Ability of DFID to meet its targets, and for teams to operate effectively
- Potential equal pay claims against the Department and financial losses due to incorrect grading
- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act (HRA).

E19. Pay for Senior Civil Service (SCS)

Background

The Senior Civil Service (SCS) is a central resource with a common framework of terms and conditions and arrangements for career management and training across Government Departments.

The Minister for the Civil Service has not delegated SCS pay to individual Departments but departments have discretion within certain parameters. The total reward package for the SCS is designed centrally to attract, retain, engage and motivate senior leaders, professionals, and specialists of the right calibre to deliver business objectives.

Each Government Department has to have a SCS Pay Committee and Pay Strategy in place to show how the department will manage the process in line with Cabinet Office Guidance.

Cabinet Office is responsible for the pay framework for all members of the SCS. DFID operates within this central framework.

Compliance tasks

1. Beginning of the reporting year - job holder agrees with manager priority business objectives and Cabinet Office defined objectives for the coming year.

Task assigned to: All staff, Line manager

2. March - DG's and Directors request mandatory 360 feedback on their direct reports.

Task assigned to: Line manager

3. April - Following end of year performance reviews for previous year, the manager makes recommendations on relative performance level: 1 (Top), 2 (Achieving), 3(Bottom). Only those members of the SCS rated as performance level 1 (maximum of 25%) are eligible for a performance related award.

Task assigned to: All staff, Line manager

Senior Leadership Committee (SLC) task

4. May - DFID SCS SLC consider performance rating recommendations for all SCS on relative basis and decide on levels of performance related pay (within Cabinet Office set limits).

Risks of non-compliance

- DFID accused of breach of equal opportunities policy, risk or equal pay claim and ultimately taken to Employment

- Tribunal or court
 - Poor staff morale, impacts on recruitment and retention
- Legal challenge to DFID for acting incompatibly with the 1998 Human Rights Act (HRA).

E20. Pay for Home Civil Servants at A1 and below

Background

Responsibility for determining pay for UK Home Civil Servants at A1 and below is delegated by the Treasury to departments.

The Treasury determines the financial envelope within which Departments must operate. DFID's pay remit is signed off by the Secretary of State.

DFID also negotiates, through collective bargaining, with the departmental trade unions (Public and Commercial Services Union (PCS) and First Division Association (FDA)) on the basis of resources agreed by the Centre. Pay negotiations include agreement on a non-consolidated performance pay element. Although Staff Appointed in Country (SAIC) have separate arrangements for determining their pay they share similar arrangements with HCS staff for the award of performance related pay via the DFID corporate Performance Management System.

Compliance tasks

1. DFID must comply with Treasury pay guidance and Cabinet Office (CO) requirements, operating within Government pay policy parameters and affordability constraints.

Task assigned to: HRD

2. DFID designs and negotiates pay and conditions of services changes with the Trade Unions, at a single

table.

Task assigned to: HRD

3. The Secretary of State signs off the pay proposals prior to final negotiations with the Trade Unions.

Task assigned to: HRD

4. Agreement needs to be secured with Trade Unions

Task assigned to: HRD/TUS

5. HRD organises annual equality proofing of all performance related awards and periodic reviews of other wider pay equality issues. Task assigned to: HRD

Risks of non-compliance

- Loss of skilled staff if DFID pay does not keep pace with market salary trends
- Failure to recruit the right staff
- Low morale within workforce generally
- Penalties imposed by Treasury for failure to follow delegated pay guidelines
- Legal challenges if breaching relevant legislation
- Reputational risks if any of the above arise.

E21. Meeting a people resource need

Background

There are a variety of options available to managers to help meet a people resource need. The most appropriate option will depend on a variety of factors which will include the effective use of current DFID staff, EU Employment legislation, The Civil Service Recruitment Principles and Her Majesty's Revenue & Customs rules on Income Tax and

National Insurance contributions. More details on the various options can be found in the Resourcing Policy and Procedures guidance.

In addition, the Government's current restrictions on recruitment and consultancy spend means that no manager may commence a process to contract an individual or small team of individuals without first discussing the most appropriate source with an HR Resourcing Adviser. This includes internal or external recruitment to fill a permanent or temporary vacancy, an agency/interim arrangement to meet a short term need, supplier contract (Admin or Programme Funded Admin) or consultancy (Admin Funded) whether on a self employed basis or through an organisation.

HRD Resourcing Team will advise the most appropriate and legally compliant route if it is necessary to bring someone in from outside the Civil Service in order to meet the resource need. This will determine the approval process as agreed by the Secretary of State. This includes filling a permanent vacancy or meeting a short term need on a fixed term basis, or on consultancy or contractors terms.

Compliance tasks

1. Managers must discuss the resource requirement with their Resourcing Adviser before deciding on the most appropriate sourcing route to meet the need.

Task assigned to: Line manager

2. Managers must first try to identify a resource from within DFID's current staff compliment. This will be on level transfer or promotion where appropriate.

Task assigned to: Line manager

3. Where an internal resource is not available (approved by HR resourcing adviser) managers must attempt to source someone from elsewhere in the Civil Service if it is to fill a permanent vacancy,

or on a loan basis if the need is short term.

Task assigned to: Line manager

4. Managers must obtain Director level approval that the resource requirement is "front-line or "business critical" before producing a formal Business Case to meet a resource need from outside of the Civil Service.

Task assigned to: Head of Department, Head of Overseas Office

Risks of non-compliance

- Contracts issued that have not been given the correct level of approval in line with government restrictions on recruitment and consultancy spend
- The Civil Service Commissioners challenge appointments and order the recruitment process to be re-run
- Expensive contracts issued when an internal option is available
- HMRC charge DFID Income Tax and employers NI contributions on inappropriate contracts to self employed individuals plus interest backdated to the date the payments were made to the individual. A fine of up to 100% of the total Tax and NI charge may also be applied by HMRC. Any charge applied by HMRC will be deducted from the contracting departments own budget
- Contracts leading to a claim of permanency through EU Employment Legislation or TUPE regulations.