Frimley Health NHS
NHS Foundation Trust

Recruitment and Selection Policy and Procedure

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Version number:	3
Implementation date:	1st September 2009
Ratified by:	USC –May 2012 HEB –July 2012
Review date	Sept 2015
Date of next review:	Sept 2018

Contents

1.0 Introduction

The recruitment and selection of staff plays a fundamental role in the Trust's overall Human Resources Strategy and the fulfilment of business objectives. In keeping with this, the Trust is committed to ensuring the highest professional standards in its recruitment and selection practices, reflecting best practice in the field and a concern for the customer care of all potential applicants and candidates. In all its recruitment and selection the Trust complies with the requirements of UK and EU legislation that applies to employment.

2.0 Purpose

The aim of this policy is to outline the overriding principles and standards applicable to all recruitment and selection undertaken by the Trust, and to ensure that these are applied consistently and fairly.

The aim of this procedure is to detail the standard process to be followed during all recruitment and selection undertaken by the Trust and provide guidance to all those involved in the recruitment and selection process.

This policy and procedure, unless otherwise specified, will apply to the recruitment and selection of all staff within the Trust. All staff includes temporary and bank staff. Agency staff appointed to permanent posts will be appointed in line with this policy.

This policy should be applied in conjunction with the relevant policies, procedures and guidance on the Trust intranet.

3.0 Overriding principles

The following overriding principles will be applied to all recruitment and selection practices undertaken by the Trust:

- Recruitment and selection practices will be conducted professionally, aligned with and promoting the vision and values of the Trust.
- All recruitment and selection practices will be applied equitably and consistently throughout the Trust.
- All appointments will be based on individual merit.
- All vacancies will be banded (prior to the recruitment process) in accordance with the AfC NHS Job Evaluation Scheme (except Medical Staffing).
- The Trust will encourage and promote the use of NHS Jobs as a process of application.
- Any employees at risk due to ill health or redundancy within the Trust will be considered for suitable alternative vacancies before other applicants.
- All substantive and fixed term posts are eligible for and should be considered for job share or other part-time options and flexible ways of working, subject to the exigencies of the service.
- The Trust will support internal promotion in support of staff development policies.
- Where appropriate the use of corporately agreed initiatives will be made to both recruit and retain staff.
- Managers participating in the recruitment and selection process will have attended appropriate training and be aware of changing recruitment practices and the application of relevant employment legislation.
- All medical, locum and board appointments will be in accordance with the NHS Executive guidance.
- Family members should not sit on interview panels, be involved in decisions to offer posts or approve references.
- Managers should not directly supervise/manage their own family members.
- Members of the Board and managers must not canvass selection panels for the appointment of particular candidates who are known personally or related to them either directly or indirectly (if they do, the selection panel shall disqualify the candidate from being appointed). Canvassing is defined as soliciting or putting pressure on others for their appointment – this does not prevent

managers from introducing possible candidates and does not prevent informal discussions taking place between an applicant and a manager.

- Members of the Trust Board or managers may act as a referee for such a post though Trust policy is to take business references prior to seeking personal references.
- It is the responsibility of any member of staff involved in selection interviews to inform their manager if any relationship exists between themselves and a candidate for appointment. Trust Board members and senior officers should disclose to the Trust Board any relationship between themselves and a candidate for appointment of which they are aware. In all cases, this policy must be adhered to.
- For temporary agency staff, managers should use Buying Solutions approved agencies where possible.
- Agency staff working in a temporary capacity will be subject to the pre-employment checks as detailed in this Policy. This applies to staff from Buying Solutions and non-Buying Solutions agencies and will be employed in line with the Agency Workers Directive.

4.0 Roles and responsibilities

4.1 The responsibilities of the HR Department in the recruitment and selection of staff are:

- To provide an effective recruitment administration service within agreed timescales and which is of the highest possible quality.
- To ensure that all pre-employment checks have been carried out in accordance with the agreed procedures.
- To check that prospective employees are not listed as having an alert letter.
- To provide expert advice and guidance to managers on the recruitment and selection process and best practice, including advice on employment law.
- To provide advice and guidance on making reasonable adjustments to recruit and retain people with disabilities.
- To provide training opportunities to managers on recruitment and selection.
- To provide training on the use of NHS Jobs.
- To report to managers and the Trust Board on the effectiveness of recruitment and selection processes.
- To participate in interview panels as appropriate e.g. where there are internal candidates, for more senior posts or to support a new manager interviewing.
- To design and run assessment centres for posts at Band 7 upwards, as appropriate.
- To ensure that best practice and quality controls are followed. The HR department reserves the right to intervene in the recruitment process, where it is felt that the Trust may be put in a position of liability.

4.2 The responsibilities of the Recruiting Manager/Night Site Manager/Site Manager in the recruitment and selection of staff are:

- To attend appropriate training prior to participation in the recruitment and selection of staff.
- To conduct the recruitment and selection process in a timely manner and in accordance with the Trust's policies and procedures, good employment practice and relevant employment legislation.
- To take responsibility for leading the recruitment process including chairing the selection panel and ensuring that all the relevant documentation is completed and signed as appropriate throughout the pre-advertisement, shortlist and interview stages.
- To ensure that an agency (including medical staffing locum agencies) has confirmed that all pre-employment checks have been carried out in respect of any temporary staff supplied. To ensure an Agency Worker Checklist is received in respect of each agency worker.

4.3 The responsibilities of the General Manager / Head of Service in the recruitment and selection of staff are:

- To oversee recruitment and selection of staff within their core service, ensuring it is undertaken according to the required need and also in line with agreed Trust policies and procedures.
- To ensure that all staff involved in recruitment and selection are appropriately trained and have appropriate seniority.

4.4 Agency responsibilities

- To ensure that the six pre-employment checks are undertaken.
- To complete the Agency Workers Placement Checklist.
- To advise the worker of the Trust's benefits which they are eligible to receive.

5.0 Training and dissemination

- The HR department will brief managers about this policy tough coaching and 'Recruitment and Selection' training days.

- This policy will be communicated to Trust Managers through email and to all staff via the Trust intranet.

Recruitment and Selection Procedure

The following procedure, unless otherwise stated, must be used for all recruitment and selection undertaken by the Trust.

6.0 Identifying and reviewing a vacancy

Prior to recruitment to an identified vacancy, managers must:

- Review the content of the impending vacancy taking into account changes to the organisation while the person has been in post, and any future changes likely to affect the role.
- Consider options for reallocation or re-design of work, as well as the use of Genuine Occupational Requirement or of positive action. Please refer to the Trust's Equality and Diversity Policy.

All new posts and posts that have changed sufficiently in responsibility will be evaluated using the National Terms and Conditions of Services, Agenda for Change (2004) Job Evaluation process. Posts may be advertised 'subject to banding' if necessary and in agreement with the Senior Personnel Manager (not medical staffing posts).

7.0 Required documentation

Once the need to create and/or fill a post is agreed, the recruiting manager must pull together the following documentation:

Authority to recruit finance form (Rec 1 or ATR), job description and person specification, draft advert and interview date.

Further information and guidance may be sought from the relevant HR recruitment teams depending on site. No recruitment will commence without a fully signed off Finance authority to recruit form.

It is the recruiting manager's responsibility to ensure that all necessary approvals are gained prior to recruitment taking place. Advice may be sought from Finance on the procedure required for authorisation to recruit.

For guidance on how to construct a job description and person specification please see Appendices 2 and 3.

Managers should consult with their HR Business Partner/Recruitment Adviser if there is further documentation that they wish to include in the advertisement of the vacancy. Any additional information may be deemed as part of the terms and conditions of employment.

8.0 Advertising a post

All adverts must be in the Trust's standard format and the content reviewed regularly. The standard Trust advert template can be found on the Trust intranets. It is essential that the advert states clearly and succinctly:

- The details of the post
- The essential and desirable criteria for the post
- The job location
- The salary
- The contract length (if not permanent)
- The application procedure
- Contact details
- Interview date

The HR department will assist managers in the copy writing of adverts and reserves the right to alter the wording of an advert if they believe that there is good reason for doing so. **All recruitment adverts must have a closing date and interview date on them. If these details are missing, the post will not be advertised until this information is supplied.** Additional assessment methods must be agreed with the HR department prior to an advert being placed.

All vacancies will be advertised on NHS Jobs. Posts will be advertised for a period of 2 weeks; however, the Trust reserves the right to close jobs early should there be a high number of applicants (30+).

Other local or national publications may be used including specialist recruitment agencies, dependent on the seniority and specialism of the role. Any advertising costs are charged to departmental cost centres.

For guidance on drafting an advert please see Appendix 4.

9.0 Clearing House

The Clearing House is a process through which vacancies are advertised via NHS Jobs on a restricted basis in the first instance to enable NHS employees who have been declared 'at risk' of redundancy to be given priority access to any vacancies that arise in the NHS in the local region.

When a clearing house is in operation, all external vacancies will be advertised there for a period of 7 working days prior to being placed on an unrestricted basis on NHS Jobs.

10.0 Internal and external vacancies

Managers must specify on the authority to recruit finance form (Rec 1/ATR) whether they wish to advertise a vacancy internally or externally. If unspecified, vacancies will automatically be advertised externally and internally.

When a vacancy is advertised internally it can only be viewed on NHS Jobs via a link on the Trust intranets. Internal adverts are also placed in the weekly vacancy bulletin and on the notice boards. Applications from members of the public in response to an internal advert may be given consideration depending on the initial response received.

When a vacancy is advertised externally it can be viewed on the NHS Jobs website by both current employees and members of the public. External vacancies are automatically advertised by jobcentre plus for a period of two weeks. External adverts are also placed in the weekly vacancy bulletin and on the notice boards.

All vacancies must be advertised using NHS Jobs for at least one week prior to using external media. Before advertising in external media managers should be able to demonstrate one or more of the following:

- The post is particularly difficult to recruit, for instance due to a known skills shortage nationally, or is a specialist role.
- There are a number of vacancies for the same post within the department and/or there is a high turnover of staff.
- The post is at senior management level and/or assessment centre or group exercises are required as part of the selection process.

All advertisements in external media must be placed through the Trust's advertising agency and managers should consult with the HR department to arrange for this to happen.

Costs of advertising existing posts in external media will be funded from departmental budgets.

To avoid advertising scams and to ensure that all advertisements in external media are placed only through the Trust's advertising agency, managers must not agree to adverts being published. Care should be taken to ensure that managers are liaising with only the appropriate agency and not other advertisers.

11.0 Secondments / fixed term contracts / acting up

Secondments can offer significant training and development opportunities for employees and therefore the same principles of an open and fair process of selection should be followed. The following applies to vacancies of a time-limited period of over 3 months, whether due to long-term sickness, maternity leave, career break or other extended period of leave, and a fixed term project.

Where there is no nominated deputy or other arrangements are not being made to cover a vacancy, this should be advertised and recruited in accordance with the procedures outlined above. Before applicants can apply they must have the permission of their Line Manager. Line Managers are encouraged to release employees for secondment opportunities wherever possible, but this decision must be based on the needs of the service.

Secondments should be carried out in line with the Trust's Secondment Policy.

12.0 Paper (off-line) applications

Those who do not have access to a PC may have a paper application form which mirrors the NHS Jobs application form. All paper applications will be recorded electronically on NHS Jobs.

These applications must be collected from the HR Administration office by the recruiting manager (HR Administrators will contact the recruiting manager when ready for collection).

13.0 Handling recruitment response

Both the HR department and the recruiting line manager may receive queries from current or ex-employees and members of the public. All enquiries should be dealt with confidentially and professionally.

Managers may want to consider offering applicants the chance of an informal visit to their ward/department. If this is indicated on the advertisement managers must ensure that a designated person is available to handle telephone enquiries and/ or requests for informal visits.

The purpose of an informal enquiry or visit is to present a positive image of the Trust and department and encourage applications to the Trust now or in the future and to enable the applicant to find out more about the post, operation of the department and working environment.

Care should be taken to ensure that candidates are not judged or assessed as part of this informal process. For example, it would be wrong not to shortlist a candidate who fails to make informal enquiries. Likewise candidates must not be interviewed; feel that they have been interviewed or that an informal visit has been used as part of the selection process.

14.0 Short-listing

Short-listing is a very important part of the selection process. Great care should be exercised to ensure that short-listing is seen to be fair and equitable and does not, either directly or indirectly, discriminate against any applicant on the grounds of gender, ethnicity, age, disability, race, sexual orientation, religion etc., in accordance with the Trust's Policy on Equality and Diversity.

Any disabled applicant who meets the minimum essential criteria must be short-listed. An applicant's disability will not be disclosed to the panel until after short-listing has taken place. If not short-listed, the HR Business Partner/Recruitment Adviser will contact the Chair of the panel to discuss whether or not the disabled applicant meets the minimum essential criteria. *It is part of the Trust's commitment to the 2 tick's symbol to interview.*

Pre-application filtering questions

It is the responsibility of the HR Administrator to apply the appropriate applicant filter questions identified from the person specification and immigration regulations when posting a vacancy, in accordance with NHS Jobs predetermined criteria for this stage of the process.

Long listing

The HR Administrator may long list applicants on behalf of the recruiting manager in accordance with pre-agreed criteria based on the person specification.

Short listing

The HR Administrator is able to provide training for recruiting managers on the use of NHS Jobs.

The HR Administrator will email the applications to the recruiting manager within 2 days of the closing date.

Applications should be reviewed against the person specification for the job. Once the applicants have been reviewed, the short-listing manager must record on NHS Jobs whether the applicant is short-listed or rejected.

The manager must indicate in the comments box whether or not the candidate's skills, knowledge and experience match the criteria (a simple yes or no is NOT sufficient). Under the Data Protection Act, the candidate may request sight of this information and it is therefore up to the short-listing manager to justify reasons as to why the candidate was not short-listed.

Internal applicants are expected to complete a full application form, so that they can be objectively assessed against the requirements of the post. If an internal applicant has already been considered as part of the selection process, and has been unsuccessful, they would not be eligible to reapply for the post when it is advertised externally.

Applicants are informed at the time of applying that if they have not heard from the Trust within 3 weeks of the closing date of the vacancy they should assume that their application has been unsuccessful. Internal applicants who are unsuccessful should be offered feedback on the application by a member of the selection panel.

In general terms, it would not be appropriate to shortlist more than 5 applicants for one post. Excessively long shortlists will be challenged by the HR department.

The short-listing panel must review the applications within **2 working days of receipt** of the email so that applicants are dealt with in a timely manner. They are then responsible for notifying the HR Administrator that short listing has been completed and advise on the arrangements for the interview (interviewers, location, timings, special arrangements for tests etc).

Short listed applicants will be invited to interview by email. The interviewees must be given at least 1 week's notice of the interview date.

Applicants will be asked to contact the HR Department to confirm their attendance and will be allocated an interview time. Candidates will also be advised of any other assessments, presentations, tests etc.

The HR Administrator will email the recruiting manager an interview pack the day before the interview. This includes all paperwork required for the interview:

- Interview schedule
- Job description
- Person Specification
- Terms and conditions sheet
- Candidate assessment form
- Candidate appointment form
- The recruiting manager will print off copies of the on-line applications for interview.

15.0 The interview

All interviews must be conducted by at least two appropriately trained individuals of appropriate seniority. The number of interviewers should be appropriate to the level of post being recruited. For more senior and speciality posts more than two interviewers will be necessary, but as a general guide there should be a maximum of five. For Associate Directors/Heads of Service and above, the Chief Executive and Director of HR & Corporate Services will be included in the panel. For medical staff appropriate NHSE guidance should be followed. Managers must not sit on interview panels to interview family members, friends, or anyone who has stated on the application form that they know them. Managers are responsible for booking an interview room.

Interviews can be supplemented by other selection tools if this is considered appropriate. Examples can include the following:

- Asking candidates to do a presentation on a prepared topic
- Word processing tests
- Assessment centres

Advice on what exercises will be used and how the assessment will be run can be obtained from either the HR Business Partner or Deputy Head of Resourcing. The use of any selection tool must be ratified by the HR department and the use of such tools requires careful planning and preparation and should measure the skills required. Candidates should be informed if they will be required to undertake any of the above when they are invited for interview and given some guidance about the type of test to be used such as an in- tray exercise, group discussion or exercise etc.

Interviews should be arranged to take account of room/assessor/ personnel or training staff availability. If an assessment morning is to be undertaken, followed by interviews for successful candidates in the afternoon, the Deputy Head of Resourcing will design, administer and run the morning, allowing the manager to concentrate on seeing the candidates. Managers and assessors will have copies of any paperwork in advance of the assessment taking place.

Managers must ensure that they obtain a full employment history and check gaps in employment for all applicants as follows:

- Closely check all dates on the application form to make sure there is a full employment history **since the applicant left school** (dates when they left school can be ascertained from the qualification section on the application form).
- Ascertain whether there are any gaps in these dates which the applicant has not fully explained on their application form.
- If there are gaps in employment which have not been explained, ask the candidate to explain these (e.g. unemployed, caring for children, travelling abroad) and provide dates to cover the gaps. These dates should be as specific as possible (e.g. 11 February 1999 to 22 September 2000).
- Record the information fully and clearly on the candidate assessment form and candidate appointment form.

Any gaps in employment which have not been recorded on the interview assessment forms will be referred back to the recruiting manager to deal with, thus delaying the recruitment process.

The interview panel should provide interviewees with an expected timeframe of when an outcome will be provided, and agree the method by which the candidate would like to be contacted. An outcome should normally be provided within 48 hours of interview.

Please refer to Appendix 5 for further guidance on carrying out interviews.

16.0 Making the decision

Decisions about selection must not be made until all interviews have been completed. In making the decision, only information obtained from the application form, the interview and any tests may be used. Each panel member should assess the candidates suitability based on the assessment and a robust scoring system.

Each interviewing manager must fully complete a candidate assessment form for each candidate interviewed. The interview chair must complete the candidate appointment form for the successful candidate confirming the panel's joint view and assessment against the person specification and the reasons for the selection decision. The Starter Information section on the candidate appointment form for the successful candidate must be fully completed as this information forms the basis of their Main Statement of Terms and Conditions of employment.

17.0 Feedback

As per best practice, it is the responsibility of the recruiting manager (or a panel member) to contact the unsuccessful candidates, and where practical, allow candidates the opportunity to receive feedback. The interview panel should always offer internal candidates feedback on their application.

The information provided on the candidate assessment and appointment forms will be necessary for managers to provide any feedback to candidates and if necessary, to substantiate selection decisions. It is also necessary to hold an accurate record of the candidate's performance at interview, to safeguard the Trust in the event of a claim against the manager or the Trust. All interview assessment forms should be returned to the HR department with the interview pack.

Managers should be mindful that the employee and an employment tribunal could have access to these notes.

18.0 Interview expenses

Interview expenses are not automatically offered to candidates. Managers have the discretion to pay interview expenses for candidates attending interviews, and any decision must be fair and reasonable. Reasonable expenses are normally seen as either second class rail travel, or the current Trust mileage

rate. There is no central budget for interview expenses and so all expenses are borne by the manager's own budgets. Managers are responsible for processing and authorising claims. Normally if travel expenses are applicable, they are only applicable for port of entry into the UK.

19.0 Complaints

If any candidate feels they have not been treated fairly or has a complaint about the recruitment process, they should write to the HR department. Internal applicants should be referred to the Grievance Policy and Procedure.

20.0 Offers of employment

All offers of employment are subject to satisfactory pre-employment checks.

The recruiting manager is responsible for contacting the successful applicant within 48 hours of the interview, where possible, to verbally offer the position **'subject to satisfactory pre-employment checks.'** Start dates must not be arranged at this point.

Managers should confirm NHS salary information with the appointed candidate.

Substantive employees will normally be appointed to the minimum of the salary scale unless they have previous relevant experience. NHS applicants moving in the same role and pay band would normally retain their existing salary subject to confirmation of previous service. NHS applicants who are promoted would commence on the minimum of the salary scale or if this would result in no pay increase the first pay point in the band which would give an increase in pay.

Managers should detail information relating to the salary point to be offered on REC 6a and if this is above the minimum discuss with their HR Adviser.

Bank employees should be appointed in line with the Trust's arrangements for bank employees.

Managers should consult with their HR Business Partner if they are unclear of Agenda for Change or Trust terms and conditions of employment or wish offer a different salary.

Managers should return the interview pack to the HR department as soon as possible after the interview. This should include:

- Completed candidate assessment form
- Completed candidate appointment form
- Completed interview schedule
- Feedback on any additional assessments undertaken by the candidate during the recruitment and selection process

Within 2 working days of receipt of the pack, the HR department will send an offer letter to the successful candidate. At the same time the HR department will initiate the pre-employment checks.

21.0 Pre-employment checks

Offers of employment are subject to certain pre-employment checks. The HR department will carry out all necessary pre-employment checks, the checks required may vary dependant on the post to be undertaken and whether the individual is an external or internal applicant.

Unless otherwise stated, and approved by the HR department, candidates will not normally be able to start work until these checks have been completed satisfactorily. If there is an urgent need to employ someone quickly, the offer of employment will be provisional and conditional on the satisfactory outcome of these checks. If the required employment checks are not completed satisfactory the offer of employment will be withdrawn.

The HR Administrator will inform the recruiting manager who should then contact the individual within 1 working day to confirm the appointment and to agree a start date. The HR Administrator must be informed of the start date so that the required paperwork can be sent out.

At least 5 working days prior to the proposed start date, the HR department will email the new starter a starter pack. Amongst other items this will include two copies of the Main Statement of Terms and Conditions of Service and a New Starter Form.

At least 5 working days prior to the proposed start date, the HR department will email the manager the a New Starter Memo which includes a summary of the Statement of Main Terms and Conditions of Service, date of Corporate Induction and car parking permit request form. A link to the probation and induction checklists paperwork on the intranet will also be provided.

Pre-employment checks

The following pre-employment checks are based on guidance provided by NHS Employers, six Employment Check Standards at www.nhsemployer.org/employmentchecks. This includes:

1. Verification of identity checks
2. Right to work checks
3. Professional Registration and qualification checks
4. Employment history and reference checks
5. Criminal record checks
6. Occupational health checks

The HR Department will maintain a record of pre-employment checks undertaken for all staff employed by the trust.

Please see Appendix 6 for internal guidance on all pre-employment checks.

1. Verification of identity check

Verification is required to determine that the individual's identity is genuine and to establish that the individual owns and is rightfully using that identity. The HR department will ask the individual to provide original documentation to confirm their identity.

A detailed description of requirements under this employment check including suitable documents can be found on this website: www.nhsemployers.org/employmentchecks

2. Right to work – prevention of illegal working check

Under the Asylum and Immigration Act it is necessary to assess the eligibility of every prospective employee's right to work in the UK. The HR department will ask the individual to produce valid documentation to verify their right to work in the UK.

Where an individual is unable to provide evidence of their right to work in the UK, they will be informed by the HR department that the Trust will no longer be able to pursue their application.

Where the right to work is time limited (e.g. certificate of sponsorship) it is the responsibility of the employee to ensure they take appropriate action to renew the right to work and stay in the country. The HR Business Partners will ensure that this is monitored and will remind the employee and their manager in reasonable time. If an employee's right to work lapses, they may be dismissed by the Trust following the Trust's Disciplinary Policy and Procedure.

3. Employment history and reference check

References

Please see Appendix 7 for internal guidance on references.

The HR Department will request references for the successful candidate/s following interview. Only where the recruiting manager can justify obtaining references earlier, i.e. where there is an identified risk to patient safety by delaying the recruitment process, would the above not apply, managers should seek advice from their HR Business Partner where this is the case.

Where an external appointment is made, references should cover a period of three years and, where possible, be obtained from the two most recent employers, as a minimum. References should cover a consecutive period of employment/training with no gaps in between. If an individual has had more than two employers in the last three years then all employers should be asked to provide a reference.

If there is less than 2 years history, or only one reference covering less than 3 years, please refer to internal guidance on signing off of references.

Where an individual has not been employed for a considerable amount of time but has had previous employment, then the Trust will seek one reference from their last known employer and a personal reference from a person of some standing in the individual's community – i.e. their doctor, solicitor, MP, etc.

Where it is not possible to obtain any employer references at all because the individual has sought employment late in life, for example, then the Trust will obtain two personal references.

Where no personal reference can be obtained then references should be sought from personal acquaintances not related to or involved in any financial arrangement with the individual. If the person has undergone training to return to work then the academic institution should be contacted.

Where an internal appointment is made, one reference from the current manager will be sought. This should initially be verbally and prior to offer.

Where a member of staff is promoted within the same department, no references need be taken up. Where a member of staff is transferring to a bank only contract immediately they leave their substantive post in the Trust, and is carrying out exactly the same role e.g. midwife, then no references need be taken up.

For ex employees a reference will be taken up from their previous line manager within the Trust, and from any employment undertaken between periods of employment with the Trust. The HR department will also check all applications from ex-employees.

Where unsatisfactory references are received, the recruiting manager will investigate with the referee and the individual. If the decision is taken to withdraw the offer of employment, the manager should discuss this with their HR Business Partner. It is the recruiting manager's responsibility to inform the candidate that the Trust will no longer be able to pursue their application.

Employment history

Managers are required to seek explanations for any gaps in employment at interview e.g. training, periods abroad, maternity leave etc. See also section 15.

4. Occupational Health check

The HR department will initiate and follow up the completion of the occupational health questionnaires. An individual cannot take up employment with the Trust prior to the HR department receiving the fitness report from the Occupational Health department stating that the individual is fit to work.

Occupation health questionnaires are required for all external candidates.

For internal candidates occupational health questionnaires will only be required where there is a significant change to either the area of the organisation in which the employee is working, the hours

worked, or the type of work undertaken. The HR Administrator will seek guidance from the Occupational Health department where it is unclear if health clearance for an internal candidate is required.

Where an individual fails the occupational health check, the recruiting manager will be informed and the individual will be informed by the HR department that their application will no longer be pursued.

Please see Appendix 8 for internal guidance on processing OH checks.

5. Criminal record and barring checks (DBS)

DBS checks should be carried out in line with the Trust's Policy on the Protection of Children and Vulnerable Adults.

The HR department will initiate and follow up the completion of the DBS check.

Standard and enhanced checks are mandatory in the NHS for all staff who, as part of their employment, will have regular contact with patients in the normal course of their duties. The level of disclosure must be appropriate to the post to be untaken by the individual.

Possession of a criminal conviction does not automatically make an applicant unsuitable for employment in the NHS. A person's criminal record should considered in the light of all the relevant circumstances and be judged on a case-by-case basis when deciding whether to uphold the offer of employment. Where necessary the HR department will contact an individual and the recruiting manager to discuss the outcome of a DBS check.

The HR department will note if any exceptional approval had been given to allow an applicant to commence on a supervised basis, pending completion of DBS checks.

6. Professional registration and qualification checks

Professional registration

Professional registration checks should be carried out in line with the Trust's Policy on Employee Registration.

The HR department will check the registration of health professionals with the relevant regulatory body. Until verification has been checked and confirmed, the individual will be unable to commence employment.

The recruiting manager is responsible for detailing on form Rec6a whether the post requires the applicant to be registered or just be eligible to be registered or neither e.g. is the candidate required to be registered with CIPD, CIMA.

Qualifications

The HR department will check relevant qualifications for the post. If a qualification is essential for the position, the manager must specify this on the person specification for the post under essential criteria. They must also detail the relevant qualification on form Rec6a.

If a prospective employee has gained their qualifications overseas, the Trust will need to check that this qualification exists, that it is equivalent to the stated UK qualification and that the prospective employee does, in fact, hold the qualification. These checks should be carried out directly with the awarding institution, where possible. Where this is not possible, the HR department should seek advice from the relevant country's UK embassy, consulate or high commission. Further advice and contact details can be found on the Security Industry Authority website at www.the-sia.org.uk and the Foreign and Commonwealth website at www.fco.gov.uk

If there is any doubt that qualifications are genuine, the HR department will need to contact the National Academic Recognition Centre (NARIC) at www.naric.org.uk

Where specific qualifications are deemed necessary for a particular role, the recruiting manager must make this clear and should only employ individuals that meet the required specification, including any requirements to be registered with a professional regulator.

22.0 Alert Letters

From time to time the Strategic Health Authority or Business Services Authority , in conjunction with the Department of Health will issue employers alert letters regarding professionals who may be clinically unsafe to work with patients.

The HR department will check that prospective employees are not listed as having an alert letter.

23.0 False declarations

The Trust considers a false declaration made by an employee during their application process to be misconduct. Misconduct will normally be addressed tough the Trust's disciplinary process and could result in action being taken up to and including dismissal. Where appropriate, the Trust may also refer a false declaration to the Local Counter Fraud Service, registration body or other relevant professional bodies.

24.0 Withdrawing an offer of employment

Offers of employment may be withdrawn if a candidate fails to satisfy the pre-employment checks, is dishonest or fails to disclose any cautions, warnings, reprimands or convictions.

Where an unsatisfactory or ambiguous reference is returned, the recruiting manager should make contact with the referee to discuss the information provided. If it is found that the candidate's conduct in their previous role was unsatisfactory (e.g. sickness levels) or there is a cause for concern about performance (e.g. clinical practice), the recruiting manager may consider the retraction of the offer in conjunction with the HR Business Partner. It is the recruiting manager's responsibility to inform the candidate that the Trust will no longer be able to pursue their application. The HR department will follow this up in writing clearly stating the reasons for the offer being withdrawn.

On the rare occasion that an individual has commenced employment on a conditional basis subject to the completion of pre-employment checks, the manager will be notified and the appropriate action taken to terminate the employee's employment with the appropriate notice.

Job offers to internal candidates are deemed a 'transfer'; therefore if the offer is subsequently withdrawn, the employee will remain in their current role.

25.0 Pre-employment checks for temporary (agency) staff

The standard six pre-employment checks as described above must also be undertaken for agency staff and these should be carried out by the agency.

The Temporary Staffing Service (Bank) will undertake the checks for bookings made via the Nursing/Housekeeping banks; otherwise it is the responsibility of the recruiting manager making the booking. A separate process is in place for medical bookings made through TempRE/STAFFflow.

Prior to an agency worker commencing employment, managers must ensure that the agency has fully completed the Agency Worker Engagement Checklist which is available from the intranet. The agency must confirm that the six pre-employment checks have been carried out on each occasion workers are supplied, except where there is a repeat booking. Where there is a repeat booking, the manager will check the previous booking to confirm all details are still valid.

Once the manager has received the form from the agency and is in agreement that the checks are satisfactory, the placement may be confirmed.

Following this, the manager must forward a copy of the checklist to agency.checks@fhft.nhs.uk

Managers must check the photographic identification of agency staff prior to commencement of the first shift to ensure that the name of the worker corresponds with the employment check which has been undertaken.

The Site Manager is also responsible for undertaking these checks for any agency bookings they make.

26.0 Agency Worker Directive

The Agency Worker Regulations 2010 provide agency workers with the same entitlement to basic employment and working conditions as if they were recruited directly to the Trust (following a qualifying period of 12 weeks in the same job).

Agency workers are also entitled to access to Trust facilities and information on vacancies, from the first day of their assignment.

27.0 Locum doctors

Usually short term absences for annual or study leave will be covered internally. Where absences are due to vacancies, delays in permanent recruitment, sickness, special leave (e.g. military exercises), maternity leave or compassionate leave, locum cover will be sought.

All locum appointments are subject to receipt of satisfactory pre-employment checks as outlined in this policy.

During out of hours, should a short term locum be required to cover last minute absence, the duty Site Manager will in the first instance liaise with the relevant specialty to establish whether internal cover can be provided by existing employees in the specialty. If internal cover cannot be found, the Site Manager will contact the locum agencies.

28.0 Induction

Induction should be carried out in line with the Trust's Induction Policy.

All new staff must attend the Trust's Corporate Induction, unless there are exceptional circumstances agreed with the manager. Managers must undertake a full induction as outlined in the Trust's Induction Policy and Procedure.

Managers must ensure that the New Staff Induction Workbook is completed in conjunction with the new employee within the six month probationary period.

29.0 First day of service

The Statement of Main Terms and Conditions of service will indicate when, where and to whom the new employee should report, as stated by the Manager on the candidate appointment form.

It is the responsibility of the manager to ensure that all the starter information has been correctly completed by the individual and that all documentation is returned to the HR Administrator within 2 working days in order to prevent any delay in payment of salary. The manager should check the following:-

- One copy of the Main Statement has been signed for return and one copy retained by the individual
- New starter form fully completed, signed and returned to the HR department
- Arrangements made for ID badge
- Arrangements made for car park permit if applicable

If the employee returns their staff appointment form after the payroll cut off date they will not be paid until the end of the following month. Managers or staff should contact their HR Administrator to find out the cut-off date for the current month, or if they have any queries on the above.

30.0 Documentation

- The HR department will retain all information relating to recruitment activity for a period of six months after completion of the selection process.
- Documentation relating to the successful candidate will form part of their personnel file.
- Recruiting managers must forward all documentation from the selection process to the HR department, including but not limited to, the interview notes for all applicants and application forms etc.
- The HR department will destroy records in accordance with document storage guidelines.
- To ensure the Trust meets its obligations as an employer, evidence of checks undertaken on prospective employees will be retained on the personnel file for each individual. This includes copying and countersigning the relevant pages of passports.
- The new starter checklist will be completed by the HR Administrator and kept in the personnel file to ensure all checks are completed and to enable periodic audit.
- Records will be kept on ESR (Employee Staff Record) and paper copies in personnel files as appropriate.

31.0 Process for monitoring/auditing compliance with and effectiveness of the policy

The HR department will maintain a record on ESR and NHS Jobs of job applicants and successful candidates. This information will be reported on for equality and diversity monitoring requirements on an annual basis to the Trust Board.

The HR department will maintain a record of pre-employment checks undertaken for all staff employed by the Trust. The HR Administrator will monitor and record receipt of pre-employment checks on the new employee checklist. Once all pre-employment enquiries have been completed satisfactorily the HR Administrator will sign the form and pass to the HR Recruitment Adviser/Supervisor for checking and countersigning.

The Deputy Head of Resourcing/Recruitment Adviser will on an annual basis undertake a check on 40 randomly selected new starter files each year for new and bank starters spread through the year and from different staff groups, to ensure the six pre-employment checks are being carried out.

The policy will be monitored through HR KPI data and information in relation to the number of applicants who the Trust withdrew offers to as a result of pre-employment checks; employees terminated due to the expiry of work permit/certificate of sponsorship and lapses of professional registration are included in the Human Capital report which is reported to the Trust Board and HEB on a 6 monthly basis.

One agency invoice per month will be checked by the HR Systems and Temporary Staffing Manager (where the bookings do not come via the central Bank), to establish that an agency worker engagement checklist has been received.

Additionally, managers receive monthly information from the Workforce Information department in relation to the following:

- Expiry of visa/work permits/certificates of sponsorship
- Professional registrations due for renewal
- Expiry of fixed term contracts/secondments/probationary periods
- Staff whose visa/work permit/certificate of sponsorship must be checked on an annual basis

The HR Department will also write directly to employees in relation to staff whose visa/work permit/certificate of sponsorship is due to expire or require an annual check.

Managers will ask agencies to confirm that the six pre-employment checks have been carried out on each occasion staff are supplied by using the process described in point 25.0.

The HR department monitor on going three yearly DBS checks for those staff working in conjunction with managers.

An annual report will be produced in September for the Director of HR and Corporate Services by the Assistant Director of Resourcing/Deputy Head of Resourcing. The annual report will include:

- Summary of the check undertaken on 40 randomly selected new starter files each year to ensure the six pre-employment checks are being carried out.
- Once a year, where an agency framework is in situ, the organisation responsible for setting up the framework will be contacted by the HR Systems and Temporary Staffing Manager to provide audit data on the framework agencies to demonstrate compliance with the six pre-employment checks in relation to staff supplied. This will be included in the annual report as described above. All other agencies will be contacted by the HR Systems and Temporary Staffing Manager to request the same details as above. This will be included in the annual report to the Assistant Director Resourcing.

An action plan will be developed when the monitoring report has identified any shortfalls and this will be monitored by the Assistant Director of Resourcing.

32.0 Review of the policy

This policy will be reviewed 3 years after the date of implementation or sooner if new legislation or guidance is introduced.

33.0 Equality Impact Assessment

The users of the policy will take into account their statutory duty to promote equality and human rights and act lawfully within current equality legislation and guidance.

This policy has been subject to an Equality Impact Assessment and is not anticipated to have an adverse impact on any group. The Trust will continue to monitor its effectiveness and will assess again if negative impact is identified or at the review date.

34.0 References and related guidance

- Health Professionals Council (2009) Standards of Education & Training
- Equality Act 2006
- Asylum and Immigration Act
- Data Protection Act
- Agency Worker Regulations (2010)
- Equality and Diversity Policy
- Standards of Business Conduct Policy
- Temporary Staff Policy (Agency, Bank and Locum staff)
- Secondment Policy and Procedure
- Protection of Children and Vulnerable Adults (CRB) Policy
- Employee Registration Policy
- Induction Policy
- NHS Employer guidance on recruitment and retention
- Agenda for Change National Terms and Conditions of Service

Appendices

1. Recruitment checklist
2. A guide to writing job descriptions
3. A guide to writing person specifications
4. A guide to drafting job advertisements
5. Interviewing hints and tips
6. Pre-employment checks (internal guidance for HR Administrators)
7. Internal guidance on references
8. Occupational health check procedure

Appendix 1

Recruitment Checklist

Task	Responsibility	Timescales
Identify the vacancy: Assess whether recruitment / banding or re-band necessary	Recruiting Manager	On receipt of resignation letter
Prepare to recruit: Complete REC1/ATR form and send to Finance Analyst/Finance email ** Prepare job description, person specification and draft advertisement and send to HR.	Recruiting Manager	Prior to advertisement of vacancy
Advertising: Agree advert, media, insertion date, closing date and interview date. Agree selection method. To be advertised on NHS Jobs open to both internal and external applicants unless otherwise advised by recruiting manager. Where low recruitment response, HR will contact recruiting manager to discuss. Those at risk to be considered first prior to advertising a post on NHS Jobs.	HR Department HR Department	Adverts are processed and posted on NHS Jobs on a daily basis.
Handling recruitment response: Application packs sent out where no access to NHS Jobs. Informal visits to department and telephone enquiries regarding role.	HR Department Recruiting manager	Packs sent out within 1 working day of enquiry
Short-listing: Initial sift of applications on NHS Jobs and applications sent to recruiting manager via email. Manager shortlist on-line and **return email** to HR Administrator of those short-listed and details of interviews and other assessments. HR Administrator discuss with recruiting manager if any suitable disabled applicants are not short-listed	HR Department Recruiting Manager HR Department	Within 2 working days of vacancy expiry date. Within 2 working days of receiving short-listing pack Next working day following receipt of those short-listed by recruiting manager.

Interviewing: Contact those short-listed for interview. Interview schedule and paperwork sent to interview panel.	HR Department HR Department	On receiving the email of short-listed applicants from manager. At least 24 hours before interview.
Offers of employment & pre – employment checks: Chosen candidate verbally provisionally offered post, subject to pre-employment checks All unsuccessful candidates contacted All paperwork returned to the HR Department Pre-employment checks carried out On receipt of all enquiries, manager informed and shown references If manager satisfied with enquiries, telephones candidate and agrees start date, then informs HR Administrator Starter information sent to candidate and manager	Recruiting manager Recruiting manager/panel member Recruiting manager HR Department HR Department Recruiting manager HR Department	Within 2 working days of interview Within 2 working days of interview Within 2 working days of interview Within 2 working days of interview Within 1 working day of receipt of all enquiries Within 2 working days of viewing enquiries At least 5 working days prior to first day
First day: All starter paperwork completed and returned to HR Administrator New starter entered onto ESR and sent to payroll.	Recruiting manager / employee HR Department	Within 2 working days of commencement Within 2 working days of receipt.
Induction/Probation: Induction checklist completed and returned to Training Department Appraisal During Probationary Period Form completed with employee and returned to HR Department	Recruiting manager Recruiting manager	At end of 6 month probationary period At least 14 days before end of the specified probationary period.

Appendix 2

A guide to writing job descriptions

What is a Job Description?
A job description is an accurate formal representation of the main duties and responsibilities of the post. It should be comprehensive but not include every minute detail.

What is its purpose?
It should clarify the postholder's accountabilities and communicate the organisation's expectations. It should describe where the job fits in the organisation and show the boundaries of the postholder's authority and discretion. It should outline concisely what the postholder is expected to achieve.

Gathering information
In order to write the job description you should gather together all the information about the job in question. This may include looking at existing job descriptions, talking to leavers during exit interview, and observing the current postholder in action

Collating information
Review the tasks and decide what should be deleted and what included. If an existing post is being substantially changed then line managers must consult with their HR Adviser on the need to re-evaluate the AfC banding of the post prior to recruitment.

All new posts should be submitted to the HR Department for banding tough the NHS Job Evaluation Scheme prior to starting the recruitment process.

Categories in the Job Description
For the Trust these are as follows

- Job Title
- Band
- Department – you may wish to append an organisation chart which includes the job titles, but not the band, of current staff showing how the post fits into the structure.
- Responsible to: job title of the line manager to whom the postholder will directly report
- Responsible for: (supervisory JD only) job titles and bands of any staff who report directly to the postholder
- Working Relationships
    - Internal: job titles of staff or names of departments with whom the postholder is regularly in contact within the organisation
    - External: names of bodies or non-employees, with whom the postholder is regularly in contact e.g. patients, visitors would fit into this category
- Purpose of Job: this is a statement, which indicates the reason why the job exists. It is often easier to write this last.
- Key Tasks and Responsibilities: these are the key outputs of the job and describe what the postholder has to do to fulfil the purpose of the job.

  Each statement should be concise and specific avoiding duplication and emphasising the action the postholder needs to take in order to achieve a particular result. A good statement will state: what is done, to what, why and if relevant when e.g. '***produce accurate and timely payroll statements to meet scheduled monthly payments of salaries.'***

  Statements may be grouped under logical headings or listed in order of importance or frequency. Avoid use of jargon or acronyms, which may not be understood by job applicants.

  Dimensions should include any facts or figures relevant to the job e.g. budget information, number of beds managed etc.

Where do I find the job description template?

The templates for non-supervisory and supervisory job descriptions can be downloaded from the Trust intranet.

Appendix 3

A guide to writing person specifications

The employee specification is a summary of the knowledge, skills, aptitudes and experience that are necessary for the effective performance of the job. It identifies the minimum criteria the person should satisfy in order to be able to do the job. It also:

- Details skills, experience and educational requirements
- Helps provide advertising copy
- Provides a basis for short-listing
- Provides a basis for targeting interview questions
- Provides a basis for assessing candidates at interview
- Assists potential applicants to decide whether they are suitable for the job

Criteria should:

- be specific
- be clear and unambiguous
- Indicate minimum job requirements, which can be justified and are related to the job. These requirements are split into those, which are essential, and those, which are desirable and would enhance effective work performance.
- Measurable and able to be assessed from the application form, at interview, or by testing.
- Careful consideration should be given to whether criteria might discriminate against minority groups e.g. criteria should not be:
    - unnecessarily restrictive
    - directly or indirectly discriminatory
    - in conflict with each other
    - Imply that the job would suit a particular race or sex.

The Trusts Person Specification is divided into 5 sections as follows

Skills (including abilities & aptitudes)
Skills are abilities gained tough study or experience. Aptitude is the ability to develop a skill e.g.

- ***'The ability to design and deliver presentations to large audiences using audio visual aids.'***

- 'Basic mathematical skills e.g. addition, subtraction, multiplication and division up to 4 figures.'

- 'Project Management skills'

- 'The ability to understand and interpret complex written information.'

Knowledge/Qualifications/Special Training
Knowledge can be derived from education, training, and experience.

Wherever a qualification is specified the phrase **'or equivalent'** should be added, as it should not be assumed that the equivalent foreign education is inferior to its British counterpart e.g..

- **'RSA II typing or equivalent.'**

- **'Up to date knowledge of health and safety legislation.'**

Do not set higher educational requirements than are necessary for the effective performance of the job. Sometimes no qualifications are needed.

Avoid general phrases such as **'a good general education'** or **'a good basic education'**, which are difficult to quantify.

Experience
It is important to specify the level, type and breadth of experience e.g. **'NHS experience'** is not specific enough. It is important to avoid requesting a specific length of service i.e. "2 years" as this may indirectly discriminate on the grounds of age. Also, it is often the level and depth of experience rather than the length that will determine suitability for the post.

- ***'Experience of designing and delivering a training course.'***

- ***'Substantial experience of working at a senior management level within an acute hospital setting'***

Personal Qualities
These are characteristics that the person needs to possess. You must be able to assess these from the application form at interview and/or by testing in order to avoid subjective judgements e.g.

- ***'Motivated to learn new skills.'***

- ***'The ability to deal sensitively and patiently with clients.'***

- ***'Able to work in a team.'***

Do not use phrases such as ***'Must have a sense of humour'.*** How will you assess this? Do not use phrases such as ***'cope with stress.'*** Try and find an alternative way of expressing what you mean such as ***'able to deal with multiple tasks and to meet short and long term deadlines.'***

Special Circumstances
This section covers such things as the applicant's ability to meet job requirements such as hours of work, ability to drive a car etc, e.g.

- ***'Able to travel regularly to other locations external to the Trust.'***

- ***'Able to work Regular Saturday mornings on a rota basis.'***

- ***'Able to attend evening meeting.'***

This section should be used carefully in order not to exclude people unnecessarily and for reasons, which cannot be justified. It is important to distinguish between what is necessary to perform the job and what is only convenient and to consider the discriminatory effect.

For example the Trust would be expected to make reasonable adjustments to equipment, the working environment and working practices in order to accommodate a person with a disability who in other respects was suitable for the post i.e. the post should be adapted to the person rather than the person be expected to adapt to the post.

Do not use phrases such as ***'physically fit'***, which may seem to discriminate against people with disabilities.

Where do I find the person specification template?
The person specification template can be downloaded from the Trust intranet.

Appendix 4

A guide to drafting job advertisements

The purpose of the advert should be to produce an adequate number of replies from the people who have the right profile for the job. You should already have prepared a job description and person specification that will provide you with the basis of the information you need to include in the advert.

The text of an advert can normally be broken down into 5 main sections:

1. The advertiser
Include something about the organisation/department in relation to the particular job being advertised.

2. The job
Using the job as a basis you should include an indication of work responsibilities, responsibility for other staff, support available in terms of staff, management and training, possible lines of progression.

3. Requirements
Using the person specification as a guide you should describe the qualifications, experience, skills, personal qualities etc that will enable the reader of the advert to decide whether they are suitable for the job and whether these are essential or desirable.

4. Inducements or rewards
Most Trust adverts include salary as a matter of course but you may wish to include something about non-financial rewards, e.g. job satisfaction, prospects for training and development etc. Please note the Trust has an agreed standard paragraph which usually goes at the top of any advert placed in the press/professional journals etc. This outlines our size, culture and some of the benefits like childcare etc. Please bear this in mind when drafting the wording of your vacancy.

5. Action
What to do next i.e. who to contact and how to submit an application etc. This included in Trust adverts as a matter of course. If you don't already do so you may wish to consider asking applicants to phone you to discuss the job before requesting an application pack. This should result in a reduction in the number of applicant packs sent to applicants who do not meet even the minimum criteria.

Other things to bear in mind:

1. If the Job title does not convey very much about the type of job e.g. Project Manager, Band 7, consider using something else more eye-catching as the headline for the advert.

2. Include some unique selling points i.e. what is it about the job?

3. Avoid clichés and stock phrases e.g.

   'Good communication skills' – what sort of communication skills do you mean written, oral, presentation, all tee?

   'Good standard of education' - does this mean GCSE's, A-levels, or a degree?

4. Avoid jargon, unless you are aiming the advert at people who are sure to know what it means.

5. Address the reader in the first person – e.g. ‘You will have specialist knowledge in …’ not ‘The successful applicant will have…’

6. Keep sentences short or break up long sentences with punctuation.

7. Show the advert to a colleague and be prepared to accept constructive criticism!

Professional help and advice
The HR Adviser for your area is available for advice and will suggest amendments e.g. if you have included something in your advert that could be interpreted as discriminatory.

For senior or specialist posts, recruitment open days and campaigns aimed at particular groups of staff etc. please refer to your HR Adviser/Recruitment and Retention Manager.

Where do I find the advert template?

The advert template can be downloaded from the Trust intranet.

Appendix 5

Interviewing Hints & Tips

- Prepare the room – ensure no interruptions, suitable seating, etc.
- Appoint a chair or lead person for the interview panel.
- Prepare the format and questions and decide who will ask these.
- Be familiar with the job description, person specification and all relevant information i.e. the application form.
- Key questions should aim to identify whether the candidate meets the criteria in the person specification. Do not ask irrelevant questions
- The questions should be in a logical sequence and kept as short and simple as possible. Use open ended or behavioural questions to encourage the candidate to talk, be sure to follow these up with probing questions to clarify issues.
- You (the interviewers) should only be speaking for 20% of the time.
- Be aware of the impression you make with non-verbal communication. Ensure you maintain eye contact, use facial expressions, body language and silences appropriately. Be aware of the candidates' body language.
- Try to put the candidate at ease.
- Listen to the candidate.
- Avoid questions that make assumptions about a candidate based on their race, sex or disability.

Making the decision

- Selection criteria should be based on the person specification and should be applied even-handedly to all interviewees.
- Each interviewer should independently complete an interview assessment for each interviewee. You may wish to allow time to do this before you see the next candidate.
- Avoid discussion about candidates until all the interviews have been completed as this my bias the outcome.
- Compare interview assessment forms objectively at the end of the interview, documenting reasons for rejecting or selecting.
- If more than one candidate could be appointed and members of the panel cannot agree the chairperson should have the casting vote.

Appendix 6

Pre-employment checks

Internal guidance for HR Administrators

The HR department is responsible for carrying out all pre-appointment screening to ensure consistency. This includes:

Verification of identity check
Right to work check
Criminal record check (if applicable)
Occupational Health check
References and employment history
Professional registration and qualification checks (if applicable)

Checks should only be carried out after a provisional offer has been made to the successful applicant.

Appointees will not be allowed to commence employment with the Trust until all of the above checks are satisfactory to the Trust.

Situations are likely to occur, where for whatever reason; candidates do not have the required documents, i.e. a long birth certificate. In such cases they will have to acquire copies at their own cost (where fees are involved), if they wish to be employed by the Trust.

To avoid potential discrimination the process below must be followed for **every** candidate.

This requirement is not Trust specific but an obligation under law for all employers and therefore any organisation they apply to for employment now or in the future will require the same documentation.

If a candidate wishes to discuss the requirements further or wants clarification, HR Administrators can direct them to an Adviser.

Procedure

Step 1 – after recruiting manager has made a provisional (conditional) offer of employment

- HR Administrator arranges a pre-employment appointment for the candidate. This should be within 2 weeks of the date of offer of employment.

- Appointee asked to bring documents to verify their identity, establish their right to work, support a CRB application (if applicable); verify professional registration and qualifications (if applicable for their role).

Step 2 – the pre-employment appointment

- The appointee attends appointment and produces **original** documentation as required.

- All documents for verification of identity and right to work check must be photocopied, signed and dated to confirm that originals have been seen and that any photos are of the candidate interviewed.

Undertaking Verification of Identity check:

This check is designed to determine that the identity of the person in front of you is genuine and relates to them and to establish that they own and are rightfully using that identity.

You must see **original** documents that allow you to check the person's:

- Full name – forename and last name
- Signature
- Date of birth
- Full permanent address

They must provide acceptable documents containing their photograph (passport or UK driving licence) and acceptable documents providing their current address.

The outcome of these checks must be recorded on ESR (refer to separate guidance for entering information on ESR).

For comprehensive guidance on verifying identity, please refer to the NHS Employers document – Verification of identity checks

http://www.nhsemployers.org/Aboutus/Publications/Documents/Verification%20of%20identity%20checks.pdf

This document covers the following:

- Acceptable personal **photographic** ID documents
- What to do if no acceptable photographic personal ID documents are available
- Acceptable **non-photographic** proof of ID documents
- Acceptable confirmation of address documents
- Appointing someone who has recently left school/further education
- What to do if someone has changed their name and cannot provide ID documents in the new name

Undertaking Right to Work check:

This check establishes the person's right to work in the UK as required by the Immigration, Asylum and Nationality Act (2006).

There are 3 steps that must be undertaken to confirm that the person has a right to work in the UK:

- Request right to work documents
- Validate the documents
- Copy and store the documents

You must see **original** documents.

The outcome of these checks must be recorded on ESR (refer to separate guidance for entering information on ESR).

For comprehensive guidance on verifying identity, please refer to the NHS Employers document – Right to work checks

http://www.nhsemployers.org/Aboutus/Publications/Documents/Right%20to%20work%20checks.pdf

This document covers the following:

- Right to work documents – List A and List B
- National Insurance numbers
- Identity cards for foreign nationals
- Employing EEA nationals
- Workers from A8 countries (accession state workers)
- Workers from A2 countries (Bulgaria and Romania)
- Employing Turkish workers already residing in the UK
- Certificates of sponsorship or work permits*****
- Resident labour market test
- Visas
- Refugees and asylum seekers
- Applicants who do not have the right to work in the UK
- Validating documents seen
- Copying and storing

***You must speak to an HR Adviser at offer stage if the appointee needs a Certificate of Sponsorship as it would be unlikely we would apply for one unless the post is on the specialty shortage list. Any requests for restricted Certificates of Sponsorship must be approved by either Sue Cornford or John Ireland.**

Undertaking Criminal record check (if applicable):

If the new starter requires a CRB check, they will have already been sent a link to make their application on-line. They must produce a combination of documents to support their application and it is likely that the documents suitable for verification of identity and right to work will also satisfy the CRB check.

Undertaking professional registration and qualification check (if applicable):

The purpose of this check is to ensure the appointee is recognised by the appropriate regulatory body and they have the right qualifications to do the job they have been offered.

The recruiting manager will have specified on the appointment paperwork which professional body and this check will be undertaken by the HR Administrator on-line.

The recruiting manager will have specified on the appointment paperwork which qualification is required for the role and the appointee must produce a certificate of qualification and a copy retained on their file.

If the appointee has gained their qualification overseas, the HR Administrator must check that the qualification exists, that it is equivalent to the stated UK qualification and that the appointee does hold the qualification. This check should be carried out by the awarding institute. Where this is not possible, the HR Administrator should seek advice from the relevant country's UK Embassy, Consulate or High Commission. Further advice and contact

details can be found on the Security Industry Authority website at www.the-sia.org.uk and the Foreign and Commonwealth website at www.fco.gov.uk.

If there is any doubt that the qualification is genuine, the HR Administrator should contact the National Academic Recognition Centre (NARIC) at www.naric.org.uk

Step 3 – completing paperwork

- The HR Administrator should ensure that all relevant sections of the PERSONNEL NEW EMPLOYEE CHECKLIST form are completed.

These guidelines will be reviewed on a regular basis and updated as necessary.

Appendix 7

Internal guidance on references

Introduction

References play a significant element in the recruitment process and obtaining references can be one of the biggest delays in recruiting an applicant. Delays are caused by:

- Not having the right referees at the outset
- Not having the full details (e.g. address/emails address/phone number) of the referee
- Not getting details of references covering the last 3 years of employment.
- Managers taking time to come and sign references off.

These guidelines have been produced for use by managers and HR staff to help ensure that we obtain references without delays.

Sending references

- For data protection and privacy reasons, the HR Department will only send for references once an applicant has been interviewed and provisionally offered the post and has accepted.

Internal references

- If a current employee moves internally to a different department, only 1 reference will be sought, from the current line manager.
- If a current employee moves internally or is being promoted within the same department, and the current line manager is the also appointing manager, no reference will be necessary.

External references

NHS Employers criteria require a minimum of 2 references to cover 3 years of previous employment and/ or training/education. As a minimum references must provide details on dates of employment and the position held

- Ideally references from 2 employers 1 of which is the current line manager (1 reference is acceptable from their current line manager if they have been there for more than 5 years)

- If the applicant has had more than 2 employers in preceding 3 years we should seek additional references.

- If they have been overseas in employment/training for 3 months and over (during the 3 years) evidence of this (e.g. reference from employer/academic reference or proof of residence)

- If they have been in full time education - reference from school/college.

- For applicants who have not worked for some time aim to get a reference from their last known employer and a personal reference from a professional-style relationship e.g. helper at a voluntary club, helper at school or doctor/Solicitor/MP

If it is not possible to obtain any of the above references then obtain 2 personal references from personal acquaintances not related to or involved in any financial arrangement with the individual.

- Managers should check with applicants at the interview that their given referees cover at least their last 3 years of employment/and or training/education. Managers should also check that they have this full information prior to making a verbal offer. They should forward this information to the HR Administrator with the recruitment paperwork.

- Prior to sending the reference requests, the HR Administrator will correlate the reference requests to the application form, as a final check to ensure that the correct references are being sent to cover the 3 year period, and there are no gaps. If there are gaps the HR Administrator may need to go back to the applicant.

- If the HR Administrator/or manager has identified different referees to those on the application form this needs to be clearly specified on the ESR new employment checklist, additional information.

- References should be sent to line managers (for healthcare professionals this should be from their clinical line manager). If in doubt these should be sent to "The Ward/Department Manager" rather than a named person.

Emailing references

- Wherever possible, in order to speed the process, references should be sent via email.

- Employment references should only be sent to an organisational email address.

Checking references

Band 6 and below: (4 month trial from 1st January 2012)

- The HR Administrator will check the reference on receipt, and will contact the referee to complete any sections which are not fully completed.

- The HR Administrator will advise the manager if the reference does not fit within the criteria for sign off by HR (attached - checking with the HR Adviser if they are unsure), and the Manager will investigate and either choose to sign off the reference, or to withdraw the offer.

- Once all the references have been received and investigated by the Manager (if necessary), the HR Adviser will check to ensure that they are appropriate and cover a 3 year period with no gaps. The HR Adviser will sign the reference/green sheet to say that the references satisfactory to the Trust.

Band 7 and above:

- The HR Administrator will check the reference on receipt, and will contact the referee to complete any sections which are not fully completed.

- Once all the references have been received the HR Adviser will check to ensure that they are appropriate and cover a 3 year period with no gaps, and will highlight any areas for the Manager to query. The HR Adviser will sign the reference/green sheet to say that the references are ready for the Manager to check.

- The HR Administrator will contact the Manager to advise them that the references are ready to check.

- The HR Administrator will chase the Manager if they have not signed the references within 2 days, and will alert the HR Adviser if they remain unsigned after 3 days, at which point the HR Adviser will contact the Manager.

- The Manager should investigate any satisfactory (or below) ratings, or areas highlighted by the HR Adviser, with the reference provider before signing off the reference.

Chasing references

- For references which are not received back HR Administrators will chase referees 1 working week after sending them (and then weekly).

- HR Administrators will bring to the attention of their HR Advisers any applicant where references have not been received at 3 weeks, and the HR Adviser will make a decision as to how to proceed. The following criteria should be used in exceptional circumstances:

    - If the references are good, and there is an explained reason for references not covering the full period, the HR Adviser can authorise proceeding with references covering the last 2 years.
    - The HR Adviser can also authorise proceeding with only one reference, but only if the applicant has been with the employer for more than 3 years, and the reference is from the current manager.
    - If there is less than 2 years history, or only one reference covering less than 3 years, this will need to be signed off by the Senior Personnel Manager/Recruitment and Retention Manager/ Assistant Director.

Withdrawal of offers due to references

- A manager should not make a decision to withdraw an offer due to references without normally first having discussed this with the reference provider or applicant.

- Once the manager has made a decision, they should email their decision and details of any discussions they have had to the HR Administrator for the area, who will draw up a withdrawal of offer letter for the HR Adviser to sign.

- There may be some exceptional cases where HR have not been able to obtain references (either through the applicant not getting back to us following a request for details or through the referee not responding to our request.) If, beyond 3 weeks after

the offer, all other checks have been received and references are still outstanding, the HR Administrator will discuss this with the HR Adviser and Manager with a view to setting a timescale to withdraw the an offer.

Criteria to be applied for HR sign off for references – band 6 and below

1) Performance/attendance – if there are ticks in the satisfactory or unsatisfactory box the manager will be asked to view the reference. Similarly if there are any adverse comments written about any of these factors the manager will be asked to view the reference

	Excellent	Good	Satisfactory	Unsatisfactory
Ability/Performance				
General Conduct				
Interpersonal Style				
Honesty/Integrity				
Adaptability/Flexibility				

2) Leaving their last employment – if any issues are raised or if the company would **not** re-employ (unless it is not company policy to do so) you will be asked to view the reference

3) Sickness – There should be no more than 4 days and 3 episodes sickness in each of the last two years.

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Appendix 8

Occupational Health check procedure

Procedure

- The HR Administrator sends the appointed candidate an Occupational Health Questionnaire with the offer letter. This is accompanied by an envelope for the form to be completed and returned to the HR Administrator. This can also be done via email.

- The date of sending is recorded on the HR Department Recruitment Checklist and on the recruitment progress spreadsheet.

- Once the questionnaire is returned by the appointee in the sealed envelope, the date of return is recorded on the HR Department Recruitment Checklist and on the recruitment progress spreadsheet. Alternatively, the form is emailed or faxed directly to the OH department by the appointee.

- The sealed envelope is then put in a large white, private & confidential envelope and sent to the Occupational Health Department. The date of sending to Occupational Health is recorded on the HR Department Recruitment Checklist and on the recruitment progress sheet.

- The Occupational Health Department will send a form to the HR Administrator indicating whether the appointee is fit or further medical details are required or Clothier information is required. The date of receipt of this form is recorded on the HR Department Recruitment Checklist and on the recruitment progress sheet.

- The Occupational Health Department will arrange individual appointments as necessary.

- Once the appointee is declared fit, the Occupational Health Department will send a health clearance form to the HR Department. The receipt of this form is recorded on the HR Department Recruitment Checklist and on the recruitment progress sheet.

- If the appointee is not passed as fit, the issue will be passed to the HR Adviser to deal with.