

Recruitment & Selection Policy

HWHR11

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1. Introduction

- 1.0.** This policy is designed to support managers when recruiting and selecting to all vacant posts and describes the standard recruitment and selection process for the Herefordshire and Worcestershire CCG. Sound recruitment and selection procedures and good practice are essential in ensuring that posts are filled by individuals, with the required skills, qualifications, abilities, and potential to meet the needs of positions within the CCG. Such procedures will aim to promote equality of opportunity and equal treatment in every respect for all employees and potential employees.
- 1.2.** The CCG value the diversity of the community served across two counties and aspires to reflect this diversity within its workforce.

2. Scope of the Policy

- 2.0.** This policy applies to all employees with contracts of employment within the Herefordshire and Worcestershire CCG.

3. Aims and Objectives

- 3.1.** The CCG overriding aim is to ensure that the organisation has the “right staff in the right place at the right time” supporting the organisation in commissioning high quality healthcare services for the local population.

The CCGs have set the following objectives for the recruitment process:

- Appoint candidates in a timely and efficient manner (target of 16 weeks from advertisement to new recruit starting).
- Maintain a cost-effective, accessible service through the use of online recruitment tools.
- Appoint people on merit regardless of age, disability, ethnicity, religion, gender, or sexual orientation.
- Ensure the recruitment processes is in line with NHS Safer Recruitment Standards.
- To appoint the best candidates to the organisation based on capability and values.

4. Equality Statement

- 4.0.** The Herefordshire and Worcestershire CCG aims to design and implement policy documents that meet the diverse needs of our services, population, and workforce, ensuring that none are placed at a disadvantage over others. It takes into account current UK legislative requirements, including the Equality Act 2010 and the Human Rights Act 1998, and promotes equal opportunities for all. This document has been designed to ensure that no-one receives less favourable treatment due to their personal circumstances, i.e. the protected characteristics of their age, disability, sex, gender reassignment, sexual orientation, marriage and civil partnership, race, religion or belief, pregnancy, and maternity. Appropriate consideration has also been given to gender identity, socio-economic status, immigration status and the principles of the Human Rights Act.

- 4.1.** In carrying out its functions, Herefordshire and Worcestershire CCG must have due regard to the Public Sector Equality Duty (PSED). This applies to all the activities for which Herefordshire and Worcestershire CCG is responsible, including policy development, review, and implementation.

5. Scope

- 5.0.** This policy is applicable to all vacancies advertised by the CCG internally or externally whether permanent, temporary, bank or lay member vacancies and for the CCG's Recruiting Managers.
- 5.1.** The processes and policy do not apply to the recruitment of GPs working in the CCG.
- 5.2.** The recruitment and selection process is administered by the CCG's Commissioning Support Unit's Recruitment Team.

6. Legal Considerations

- Employment Rights Act 1996
- Equality Act 2010
- Offender Rehabilitation Act 2014
- NHS Safer Recruitment Standards

7. Responsibilities and Duties

7.0. Executive Directors

Executive Directors will be responsible for ensuring that:

- All employees are informed of the Recruitment Policy and Procedures.
- The policy is implemented and operated effectively.
- Managerial action is fair and equitable and is monitored effectively.

7.1. Recruiting Managers

Recruiting Managers will be responsible for:

- Appropriate implementation of the policy.
- Ensuring appropriate training is accessed on a regular basis to be competent and knowledgeable about equality and recruitment practice.
- Writing and submitting Job Descriptions for job evaluation and matching where necessary.
- Requesting authorisation to recruit by completing all compulsory documents in accordance with local processes e.g. Vacancy Approval Form or Establishment Control Form.
- Providing information to plan and advertise vacancies efficiently and economically.
- Providing adverts, job descriptions and other relevant documentation to process the vacancy on the TRAC system.

- Coordinating interview dates and panel members in collaboration with the Recruitment Team.
- Designing appropriate interview questions and where necessary, assessments and tests.
- Completing online shortlisting.
- Being a panel member or Chair of the panel at the interview.
- Making a verbal offer of employment to the preferred candidate.
- Informing unsuccessful candidates of the outcome following interview.
- Providing interview feedback to candidates as requested.
- Completing and maintaining legible records from interviews, testing and assessment.
- Reviewing all references for the appointed candidate. Where necessary, contacting the candidate to enquire about any information.
- Consult with the Human Resources team before continuing or withdrawing offer of employment.
- Reviewing any pre-employment Occupational Health referral and discuss any outcomes such as workplace adjustments as necessary with the candidate.
- Confirming that references, sickness absence and adjustments are acceptable, or otherwise, seeking guidance from Human Resources where necessary so that the process can continue.
- Agreeing salary with the candidate, in advance of the unconditional offer and in accordance with Agenda for Change terms and conditions and obtaining appropriate authorisation from Head of HR & OD and Accountable Officer (where applicable).
- Arranging employment forms and IT access in partnership with the Corporate Team.
- Engaging regularly with the appointed candidate in the period leading up to commencement.
- Implementing the CCG's Induction process from the start date onwards.

7.2. Recruitment Team

The Recruitment team will be responsible for:

- Co-ordinating the job matching and evaluation process for new job descriptions.
- Advertising posts on TRAC, liaising with managers regarding recruitment needs.
- Making online applications available for shortlisting.
- Providing applicant personal details and sending interview invites.
- Co-ordinating pre-employment checks, including references, Occupational Health clearance, DBS checks and professional registration – informing manager when complete.
- Sending out appropriate conditional and non-conditional appointment letters.
- Issuing contracts of employment.

7.3. Human Resources

The Human Resources team will be responsible for:

- Providing advice and guidance on recruitment and selection as required.
- Advise at key stages of the recruitment process as required.

8. Recruitment Process

- 8.1.** It is essential that the CCG's approach to resourcing is planned in order to ensure the CCGs maximise the impact and benefits of the recruitment process and the tools in place, which will support the organisation in attracting and then recruiting the best applicants.
- 8.1.** The recruitment process is administered and managed through the online recruitment system, TRAC, using this link <https://admin.trac.jobs>. Recruiting Managers without a login, should email mlcsu.recruitment@nhs.net and an account will be created.
- 8.2.** All documents relevant to the recruitment should reflect the requirements of the Equality Act 2010. Except where an occupational requirement exists, there should be no direct or indirect discrimination against any of the protected characteristics.

9. Identifying a Vacant Post

- 9.1.** Before deciding to fill a vacancy and progressing to the next stage of the recruitment process here are a number of questions to be asked:
- Is the work itself required to be undertaken?
 - Can the work be absorbed by re-organising existing resources, or via links with partner organisations within the Herefordshire & Worcestershire STP?
 - Is it the same job as was done previously?
 - Can a revised team skill mix be considered as an alternative?
 - Will the job be permanent or temporary?
 - Can the vacancy be covered by a temporary secondment?
 - Is this one vacancy or can a single process be used to fill this and subsequent vacancies?

10. Compiling a Job Description and Person Specification

- 10.1.** The job description not only describes the objectives and purpose of the job, but also provides a framework of line management responsibility and key tasks. It provides details to employees of the role they are expected to undertake and how the job relates to the organisation structure, strategy, objectives, and goals.
- 10.2.** The person specification details what knowledge, skills, personal qualities, and additional requirements, are needed to do the job and to what standard. When writing the person specification, the Recruiting Manager must specify which aspects of the criteria are 'essential' or 'desirable'. The shortlisting and interviewing panel members must be familiar with the content of the person specification, as this will be the tool for use in the selection process.
- 10.3.** The recruiting manager must ensure that the job requirements or criteria are phrased correctly in order to comply with relevant legislation and good practice relating to diversity and equal opportunities.

- 10.4.** If the post is new it is important that within the planning phase consideration is given to the time it can take to evaluate a post using Agenda for Change Job Matching and Evaluation process. The Job Matching and Evaluation process determines the band and therefore the salary for the post.
- 10.5.** If the job is not a new post it should still be reviewed by the recruiting manager to ensure it accurately reflects the requirement for the job and the business needs. Where significant changes have been made a job, matching exercise will be required; if managers are unsure, they should gain advice from the Human Resources team. Managers should use the evaluated job description as a basis for the updates highlighting the changes required to enable the Human Resources team to understand the changes.
- 10.6.** Guidance on how to compile a Job Description and Person Specification can be found in Appendix 1 and Appendix 2.

11. Vacancy Approval process

- 11.1.** Once it is determined there is a vacancy, either on a permanent or temporary basis, a manager must propose this vacancy, by completing the relevant form in accordance with local process, for authorisation to recruit from the Accountable Officer and Chief Finance Officer. Recruitment to the vacancy must be agreed by the Accountable Officer and Chief Finance Officer before being advertised.
- 11.2.** Approval to fill posts will not be valid for longer than three months after approval received.
- 11.3.** Any recruitment to a fixed term contract should have a specified end date and reason for the fixed term duration. Advice should be sought from the Human Resources team when recruiting to fixed term contracts.

12. At Risk staff

- 12.1.** If there are redeployment candidates that may be suitable for a role the Recruitment Team will advertise on TRAC but restrict the position. The role will be restricted to these candidates for 5 working days.
- 12.2.** If a redeployment candidate applies for the vacancy and is suitable for shortlisting, they must be interviewed for the vacant post.

13. Advertising

- 13.1.** The recruiting manager will use the TRAC system to create the vacancy <https://admin.trac.jobs>. If the Recruiting Manager does not have a login, an email should be sent to mlcsu.recruitment@nhs.net for an account to be created. The user guide for the TRAC system can be obtained from the Recruitment or Human Resources team.
- 13.2.** In order to advertise a vacancy the recruiting manager needs to upload the following to the TRAC system for the Recruitment Team:

- Copy of signed vacancy approval form
- Confirmation of banding/evaluation outcome for all new posts
- Copy of the current job description
- Copy of the current person specification
- Copy of the advert (including closing date and any specific instructions)
- Any other additional documents to be included in the advert

13.3. Vacancies will be advertised without unreasonable delay once set up on the TRAC system and upon receipt of all documentation. The Recruiting Manager will need to advise of the vacancy/advert details, how they would like to advertise the vacancy and timeframes including whether they want to close the advert early if they receive a very high number of applications via TRAC.

13.4. All posts will be advertised online via the TRAC system on NHS Jobs and Health Jobs UK. The advert needs to provide a clear and concise overview of the role. In addition, it is useful for the advert to provide prospective candidates with an indication of dates for the selection process such as interview date and the format of the selection process.

13.5. The advert should include reference to the CCGs' Probation Policy clearly specifying that all new staff appointed to posts within the CCGs, whether full or part time, permanent or temporary are required to successfully complete a probationary period of three months.

13.6 To promote equal opportunity and ensure that any possible risk of discrimination during the recruitment process is minimised, personal information is removed from the Application Form prior to shortlisting and is used for monitoring purposes only. To minimise the possible risk of discrimination, candidates' personal details will not be made available until after shortlisting has taken place.

13.7 The panel will consider and agree on the appropriate selection methods. This may include testing, presentations, group work and any other appropriate form of assessment, as well as agreeing interview questions which may be competency based. Reasonable adjustments for applicants with a disability will be considered during this process.

14. Applications

14.1. All applications for posts must be made on the standard online application form unless a reasonable adjustment has been made for an applicant with a disability. The CCG will provide suitable recruitment packs to applicants with disabilities as soon as possible following a request.

14.2. Applicants will be expected to apply online. Applicants without access to the internet should access it via public services e.g. libraries, job centres etc.

14.3. Late applications may only be considered in exceptional circumstances for example, if the website is down in the final hours that the post is open.

- 14.4. Applicants must declare on their application if they are in a relationship with or related to an officer of the CCG. Applicants should not canvass officers or any staff member of the CCG.

15. Selection Process

- 15.1. Selection of a suitable candidate is the most crucial stage of the recruitment process. The overriding aim is to ensure that the CCG use the most appropriate and best quality selection practice enabling the organisation to identify the best candidate for the job whilst encouraging diversity and complying with best practice or legal requirements.

16. Shortlisting

- 16.1. Appointing managers should not shortlist alone. All members of the interview panel, or at least a majority of the panel members should undertake the shortlisting and complete the appropriate shortlisting paperwork.
- 16.2. Short-listing must be carried out by examination of each application against the criteria in the person specification for the role, and these must be applied consistently to all candidates on the basis of the information supplied in their application forms. Under no circumstances should the person specification be altered at this stage of the process.
- 16.3. All shortlisting should be conducted via TRAC. Recruiting managers are responsible for making sure any individuals involved within the shortlisting process are aware of and utilise the criteria in the person specification when shortlisting, initially reviewing applicants against the essential criteria and then the desirable criteria where there is a need to further reduce the selection pool.
- 16.4. Technical guidance on how to conduct shortlisting on TRAC can be obtained from the HR or the Recruitment Team.
- 16.5. All vacancies close on NHS Jobs at midnight on the closing date, this is fixed within the system so managers should be aware of this when setting a closing date (for example, consider closing the vacancy on a Sunday rather than Friday as applications will not be processed for short-listing until Monday).
- 16.6. When considering applicants for shortlisting, priority will need to be given to any applicants who have marked that they wish to apply under the Equality Act. Under provisions of the Equality Act 2010, the CCG have a responsibility to ensure that disabled applicants are not unfavourably disadvantaged. Any applicants who declares that they have a disability and who meet all the essential criteria are **guaranteed an interview**.
- 16.7. The reasons for the decision not to short-list an applicant must be clearly recorded on TRAC.
- 16.8. If requested applicants will be entitled to receive constructive feedback from a member of the shortlisting panel on the reasons why their application did not meet the necessary criteria for interview.

17. Interview Panel

- 17.1.** The Recruiting Managers are responsible for accessing the interview schedule, copies of application forms for shortlisted candidates, and the job description/person specification from the TRAC system and printing off if required. An email with a link to this information, will be sent at 9:00am on the day before the interview.
- 17.2.** Recruiting Managers must be aware that in the event of a claim against the organisation alleging discrimination or unfairness, and in line with the Data Protection Act 2018, all written comments can be disclosed.
- 17.3.** Interviews should normally be undertaken by a minimum of two people, the interview panel should include the departmental representative who was involved in the shortlisting process, including the Recruiting Manager. At least one member of the panel must be trained in recruitment and selection techniques.
- 17.4.** The officers who are involved in the recruitment process must be suitably trained by attending the relevant recruitment and selection training. It is managers' responsibility to ensure panel members are appropriately trained.
- 17.5.** The Recruiting Manager will normally be the Chair of the panel and will be responsible for ensuring that sound recruitment practices are followed. In accordance with equality principles, wherever possible, the interview panel should ideally be representative of the community or locality to which the appointee will be working.
- 17.6.** Where there are shortlisted applicants who have indicated a disability, it is important that advice is sought from Human Resources prior to all interviews taking place.
- 17.7.** The attendance of an assessor from outside the CCGs may be advisable for senior or specialist appointments, or as required under the employment provisions of a particular staff group.

18. Notification of Interviews

- 18.1.** Applicants will be notified of the interview arrangements by email via TRAC (or other suitable method to meet any accessibility requirements identified) and this will normally include the names of the panel members. The applicant will be advised that they may request reasonable adjustments or alternative arrangements to enable them to take part in the interview, if they consider themselves disabled as defined by the Equality Act 2010.
- 18.2.** Applicants will be notified of any changes to interview arrangements in a timely manner.
- 18.3.** Where a presentation or test forms part of the selection process, applicants will be advised of this in their notification of interview correspondence. Requests for reasonable adjustments will be considered for applicants with a disability.
- 18.4.** Interview expenses will not be reimbursed.

19. Interview process

- 19.1. The interview is the crucial stage in assessing the applicants' suitability and the more time spent in planning the interview, the higher are the chances of a successful appointment being made. The structure has to take account of the two main objectives of a selection interview, namely:
- To establish whether the candidate is suitable for the job
 - To establish whether the job is right for the candidate
- 19.2. Guidance on interview arrangements and techniques can be found in Appendix 3.
- 19.3. Interviews will be undertaken by **at least two panel members**, one of whom must be trained in recruitment and selection practices to improve their effectiveness in the process and to raise their awareness of equal opportunities legislation and practice.
- 19.4. The interview format and the questions to be asked by the panel at the interview should be agreed beforehand and reflect the criteria in the person specification, any technical aspects of the post and questions related to team working.
- 19.5. During the interview process questions should be included that explore how the candidate will demonstrate the values of the CCG in the work environment.
- 19.6. When an applicant declares a disability, the Recruiting Manager is required to consider any reasonable adjustments that are needed for the applicant to take part in recruitment process, so that they are not at a disadvantage.
- 19.7. Interview questions must be directly relevant to the interview assessment criteria and job under consideration. They must be asked of all candidates and will be agreed by the panel before the interviews commence. Such questions should give the candidate the opportunity to expand upon their written application. Supplementary questions can be asked for clarification and may differ between candidates.
- 19.8. The interview panel should review the applications and formulate questions to ensure that at the interview:
- Any employment gaps are explained.
 - Any cross-over in employment activity is explained.
 - The previous three years references have been provided with an email address so that a written reference can be obtained.
 - Immigration status is clear so that this can be verified at interview.
 - Establish current pay band and determine potential starting point on the banding scale if appointed dependant on whether it is a promotion or appointment within the same band. Please see Section 25 for starting salary guidance.
- 19.9. Responses to questions should be scored by each panel member using a scoring system (i.e. 1 – Failed to answer question; 2 – Partially answered question; 3 – Satisfactory answer to the question; 4 – Good answer to the question).

- 19.10.** The Interview Panel members should complete the Interview Scoring & Record Form for each Candidate during the interview (Appendix 4).
- 19.11.** All candidates must be advised of the date and method by which the selection decision will be communicated. It is essential that they leave the interview with a favourable impression of the CCG. Managers should advise candidates if they are unable to reach a decision by the agreed date for notification.
- 19.12.** All candidates must be advised of the CCG Probation Policy and that should they be successful in securing the role they will be required to successfully complete a probationary period of three months.
- 19.13.** There is no obligation on the CCG to rearrange interview dates to accommodate individual candidates. If it is possible, it will be at the Recruiting Manager's discretion and a consistent approach will be used for that vacancy.
- 19.14.** At the interview, the Recruiting Manager will collect, make copies of the originals, and check the identity/right to work documentation, and sign the Capture Form (Appendix 5).

20. Selection of the successful candidate

- 20.1.** Those involved in the interview should make factual notes throughout and assess the applicant's suitability against the criteria on the person specification via their responses to the questions asked.
- 20.2.** Once all candidates have been interviewed, the panel members should discuss their individual assessments/scoring and come to a consensus over who is the best applicant.
- 20.3.** The decision to appoint a candidate will only be made by the panel members after ranking candidates based on the scores (as discussed in Section 19.7) from the recruitment process. In exceptional circumstances, where the panel are unable to reach consensus, a further activity should be arranged, i.e. second interview, presentation, in-tray exercise etc.
- 20.4.** Where the panel is still unable to agree on the successful candidate, the Recruiting Manager (normally the Line Manager for the vacant position) will be responsible for making the final decision.
- 20.5.** Under the Equality Act 2010, positive action may be taken where at the end of a recruitment campaign there are a number of candidates who have performed equally across the selection activities. In this case it can be appropriate to undertake positive action and select a candidate based on a relevant protected characteristic, e.g. age, disability, race, sex that is underrepresented within the team they will be joining. For example, local equality demographic data (i.e. workforce/local community) may highlight equality groups are underrepresented in the role being advertised. If at the end of the recruitment process there are two applicants tied for first place, it would be reasonable to determine the outcome based on the protected characteristics of the two applicants. It must be reiterated that positive action in this regard must only take place if both applicants have met all other criteria for the post.

- 20.6.** Any action taken must be a proportionate means of addressing such disadvantage or under-representation. The section of the Act is intended to allow the maximum extent of flexibility to address disadvantage and under-representation where candidates are as good as each other, within the confines of employment law.
- 20.7.** The Chair of the interview panel will be responsible for contacting candidates to inform them of the outcome of their interview and give relevant constructive feedback.
- 20.8.** Recruiting Managers must make it clear to preferred candidates that any offer of employment is conditional and based on the completion of satisfactory pre-employment checks, and that any information disclosed on the application form will be checked.
- 20.9.** Preferred candidates must also be informed that any offer of appointment may be withdrawn if they knowingly withhold information or they provide false or misleading information. It should also be made clear that their employment may be terminated should any subsequent information come to light once they have been appointed.
- 20.10.** Once the successful candidate has accepted the conditional offer, the Interview Scoring and the copies of the interview record Forms, copies of ID / Right to Work Checks and Capture Form for this candidate should be uploaded onto <https://admin.trac.jobs>.
- 20.11.** All forms relevant to unsuccessful applications will be retained for a period of 12 months from the closing date by the organisation, at which point they should be confidentially shredded, unless there is an unresolved dispute over the recruitment, in accordance with the requirements of the Data Protection Act 2018.
- 20.12.** Information relating to the recruitment and selection of individuals will be retained in line with GDPR 2018 and NHS Information Governance Guidelines. Recruitment and Selection information for successful candidates will be retained on the personal file for the duration of their employment. Recruitment and selection information for unsuccessful candidates will be retained for a period of 12 months before being destroyed.

21. Appointment Procedure

- 21.1.** Following the interview process Recruiting Managers will update the TRAC system with the outcome (please see user guide obtained from Recruitment or Human Resources team). Upon notification of this and receipt of the successful candidate's paperwork on <https://admin.trac.jobs>, the Recruitment Team will contact, by e-mail, the individual with a conditional offer of employment.

All offers of employment will be made on a conditional basis subject to the NHS 6 standard pre-employment screening checks, which include:

1. Evidence of the right to work in the UK
2. Evidence (original documents) relating to required qualifications or professional memberships or driving licence (where driving is a job requirement)
3. Occupational Health clearance

4. An acceptable DBS (Disclosure and Baring Service) disclosure, where appropriate
5. A completed Declaration of Interest form
6. Receipt of two acceptable references from previous employers or other appropriate individuals.

Internal candidates:

- Receipt of one satisfactory reference from current Line Manager – unless the new role is within the same team.
- Ensure receipt of the documentation listed above, for external candidates, is on the individual employee's file already (where applicable). In cases where this information is missing on the employee file, this pre-employment check will be required.

- 21.2.** When the Recruitment Team make a conditional offer, successful candidates must be advised not to submit their resignation to their current employer (where appropriate) prior to all of the relevant checks being completed satisfactorily.
- 21.3.** Subject to receipt of satisfactory pre-employment checks, confirmation from the Recruiting Manager to proceed, agreement of a start date and approval of salary, the Recruitment Team will issue a contract of employment and new starter pack to the successful candidate.

22. Pre-Employment Checks

- 22.1.** In the first instance, offers of employment will be restricted to conditional offers only. Unconditional offers are only made when all pre-employment checks have been satisfactorily undertaken. Any offer of employment will be subject to references which are satisfactory to the CCG.
- 22.2.** The CCG is required to carry out a number of checks on applicants for positions within the organisation before any formal offer of employment can be made as above. This includes both prospective employees and staff in on-going NHS employment who may apply for new posts/promotion.
- 22.3.** A set of **mandatory** standards has been developed for use across the whole of the NHS and which make up the '**NHS Employment Check Standards**'. These apply to permanent staff, staff on fixed term contracts, temporary staff, volunteers, students, trainees, contractors, and staff supplied by an agency.

22.4. The NHS check standards are as follows: -

1. Verification of Identity Checks - to be checked at interview
Guidance available at: <https://www.nhsemployers.org/identitychecks>
2. Right to Work Checks – to be checked at interview
Guidance available at: <https://www.nhsemployers.org/identitychecks>
3. Registration and Qualification Checks - to be checked prior to interview

Guidance Available at: <https://www.nhsemployers.org/your-workforce/recruit/employment-checks>

4. Criminal Record Checks

Guidance Available at: <https://www.nhsemployers.org/your-workforce/recruit/employment-checks>

5. Employment History and Reference Checks

Guidance Available at: <https://www.nhsemployers.org/your-workforce/recruit/employment-checks>

23. References

23.1. As part of the NHS Safer Recruitment Standards, the CCG have a robust pre-employment screening process that is managed by the Recruitment Team.

All offers of employment will be made on a conditional basis subject to the NHS 6 standard pre-employment screening checks. Receipt of two acceptable references from previous employers or other appropriate individuals are required that confirm as a minimum:

- o Dates of employment
- o Periods of absence due to sickness
- o Any conduct issues e.g. dismissed due to gross misconduct, serious concerns regarding performance etc.

It is important that one of these references is from the current line manager and/or the last known 3 years employer.

24. Right to Work in UK Check

24.1. In order to work for the CCG an individual must be able to prove that they have the right to live and work in the UK. All appointees must provide evidence of eligibility to work in the UK. It is therefore standard practice to ask all candidates to bring with them evidence of their right to work in the UK (this also serves as evidence of identity which is another check that needs to be undertaken throughout the recruitment process).

24.2. Nationals from EEA countries and any immediate family members (where the EEA national continues to reside in the UK) can currently enter and work freely in the UK without any restrictions. They must, however, be able to produce the relevant documents which confirms their nationality.

24.3. There will be no changes to the ways that EU, EEA, and Swiss citizens can prove their right to work until 1 January 2021. A new immigration system will apply from 1 January 2021 onwards. For full clarity, the government has issued guidance on employing EU, EEA and Swiss citizens and their family members after Brexit, which can be found on the gov.uk website.

24.4. If the person to be appointed is a national of a non-EEA country, a sponsorship may be required. If so, the Human Resources Team must be contacted as soon as the interviews are complete in some circumstances it may be possible to make an application to the Home Office's Immigration and Nationality Directorate for this sponsorship. This process can take up to three months and **will only be successful for roles where there is a labour shortage in the UK or evidence can be provided that the organisation has been unsuccessful at recruiting an EEA National**. Staff cannot under any circumstances be employed until permission is given.

25. Disclosure and Barring Service (DBS)

25.1. Criminal Records and Barring checks are designed to help prevent unsuitable people from entering the NHS workforce and gaining access to vulnerable groups. A criminal record check relates to the data held about an individual's criminal history. This will include all criminal offences (convictions, cautions, reprimands, and warnings). It may also include traffic offences such as speeding and drink driving.

25.2. While important, a criminal record check is only one aspect of the recruitment and selection process. The CCG will therefore make a decision regarding the suitability of a particular individual using the range of information gathered as part of the pre-employment check process.

25.3. Not all employees entering the CCG will require a criminal record or barring check. The need for a check and the level of a check is determined by the activities of a particular role and the type of access to vulnerable groups an individual will have as part of that particular role. Obtaining checks on individuals who are not being appointed to an eligible position is unlawful. In cases of serious misdirection, this can lead to the DBS revoking an employer's registration status to obtain checks through them. Therefore, it is important that the Recruitment team, line managers and employees understand where a check is needed and of what type.

25.4. Identifying the level of DBS check required

Each post that the CCGs appoints to will need to be considered on its merits, mix of work responsibilities, and contact with vulnerable groups (including that categorised as regulated activity).

The roles that the CCG is likely to include for DBS checks are as follows:

- *Any work that relates to providing health services where that work means there is also contact with patients* - Any employment or role which is concerned with the provision of health services and which enables the holder of that employment or the person engaged in that work to have access to persons in receipt of such services in the course of their normal duties
- *Financial Services Position* - Positions for which the Financial Conduct Authority, the Prudential Regulatory Authority or the Bank of England, or organisations nominated to act on their behalf, are entitled to ask exempted questions to fulfil their obligations under the Financial Services and Markets Act 2000.

In general, the following principles apply:

- Non-clinical role, not patient facing – No Check

- Clinical role, patient facing – Enhanced check (with barred list as appropriate to role)

The following link provides access to the NHS Employers' DBS check eligibility tool to determine whether or not an individual is eligible for a DBS check and if the level of check that applies: <https://www.nhsemployers.org/case-studies-and-resources/2018/08/dbs-eligibility-tool>

25.5. Process for initiating a DBS Check

Line Managers will be asked to identify the level of check required when they advertise a vacancy on the TRAC system. Once the vacancy has been submitted for authorisation on the TRAC system, the information will be passed on to the Recruitment Team and any counter signatories, who will then be able to audit the information provided and query the DBS requirement if needed.

Once a successful candidate has been selected the process will move to the offer stage which initiates the pre-employment checks, including the DBS check. The successful candidate will be contacted by the Recruitment Team via email and provided with a web link to complete the DBS check.

25.6. DBS Declaration Form

As part of the recruitment process, all new starters are asked to complete and return a Disclosure & Barring Service (DBS) Declaration Form. This means that new starters must declare all criminal convictions, including those that would otherwise be considered 'spent'.

Any information declared that is believed to have a bearing on their suitability for the position will be highlighted to the line manager by the Recruitment Team. In line with the Data Protection Act 2018, the Recruitment Team must first obtain permission from the candidate to share their personal information. Once the line manager has been notified of the information provided on the declaration form, they will then be able to discuss the information with the candidate prior to making a final decision on their appointment. Line managers are advised to speak to Human Resources for advice and guidance before making a final decision on whether to appoint the candidate.

25.7. DBS Update Service

The DBS Update Service is designed to enable those who are eligible for DBS checks to move posts more quickly where they are applying for positions which involve working or volunteering with the same vulnerable group and where the activities do not change the level of check. The certificate can be taken from role to role providing it is within the same workforce and where the same type and level of check is required. Individuals can give employers permission to view their certificate and can check who it has been viewed by. By allowing employers to check the certificate online and receive the DBS outcome straight away, there are significant savings in terms of processing time.

The CCGs strongly recommends that those subject to a new DBS disclosure check register and join the DBS Update Service, which currently costs £13 per year. Staff members will be reimbursed for this cost in line with the procedure set out in the CCG's Expenses policy.

Further information and guidance relating to the DBS update service can be found on their website: www.gov.uk/government/collections/dbs-update-service-promotional-material

25.8. New Starters

For new starters to the CCG their DBS certificate must be registered with the DBS Update Service and failure to do so may result in withdrawal of the offer of employment.

Once a new starter has subscribed to the Update Service, they must ensure that this is renewed on a yearly basis. Failure to keep their Certificate registered with the Update Service will require the employee to complete another DBS check and re-register with the DBS Update Service, the costs of which will be met by the employee.

25.9. Existing Staff

All staff who work with children and had a DBS prior to the implementation of the Update Service and are subject to a DBS check will be required to renew their DBS after three years in-line with best practice guidance issued by the DBS and safeguarding requirements. Staff will be notified prior to their DBS expiry so that a new check can be undertaken, after which they are encouraged to join the DBS Update Service.

Staff who fail to complete their 3 yearly DBS check within the required timescales and who have not been given authorisation from the Recruitment Team, will be subject to disciplinary investigation and potential disciplinary action being taken against them.

26. Starting Salary Guidance

26.1. During the recruitment process, the Recruiting Manager may need to discuss the proposed starting salary with the successful candidate however the Agenda for Change Terms and Conditions are clear on this.

Staff transferring within the NHS (internally within the organisation or from another NHS organisation):

- Under NHS Terms and Conditions of Service, staff are not entitled to a pay increase when they change jobs/ are appointed and the pay band remains the same. This is because both jobs have been evaluated to be on the same pay band and the different responsibilities of the jobs are rewarded equally under the job evaluation scheme. The appointee will commence in the CCG on their current salary.
- A candidate appointed to a post on a higher pay band will transfer to the minimum of the new pay band, or, if this would result in no pay increase, the first pay point in the band which would deliver an increase in pay (by reference to basic pay plus any recruitment and retention premium, if applicable) and creates a new pay step date.
- Staff appointed to a post in a **lower pay band** will enter the band at the point they would have reached if all their NHS service in equivalent or higher pay bands had been worked in the lower band. These staff will retain their pay step date.
- If a candidate is on pay protection or has had a break in NHS service, please speak to the CCGs Human Resources team.
- For newly appointed to the NHS or promoted staff their incremental (pay step) date will be the date they take up their post.

Returning to the NHS

Break in service – less than 12 Months

- Staff who have a break in service of less than 12 months, and who are returning to the same pay band will enter the pay band at the same point that they were on when they left.
- Initially staff will be paid on the minimum of the band until confirmation of their previous salary has been received. However, as it can take some time to confirm past employment the new employee can provide their latest payslip from their previous NHS employer to confirm their previous pay scale and point.
- Where a break in service has occurred that is less than 12 months, the Pay Step date will be deferred by the length of the break.

Break in Service – More Than 12 Months

- Staff who return to the NHS after having a break of 12 months or more will normally enter the pay band at the minimum. However, the same guidance, rules and approval levels will apply where managers feel that previous experience, at the same level of responsibility, should be taken into account in determining higher starting pay.
- Staff who are returning to the NHS on the same pay band must not be placed on a pay point greater than they would have reached had they remained in the NHS. The Pay Step date will reflect the date of their new appointment.

New staff coming from outside the NHS including secondments

- New staff appointed from outside the NHS will normally commence on the minimum point of the pay band. In exceptional circumstances, where there is sound evidence to support a case for setting pay above the minimum point of pay band, it may be possible to offer a salary above the band minimum. This will be managed as follows.

The manager will need to take into account the following:

- Relevant whole years' experience at the same level of responsibility as the new post may be taken into account in determining starting salary. Only whole years of experience should be credited.
- Any period of relevant experience should be confirmed through application forms, references obtained as part of the recruitment process or, if this is not possible, through evidence provided by the appointee.
- Current salary should not be used alone as a way of determining starting salary but may be a factor in deciding to take relevant previous experience into account.
- The impact of the decision on others already in post, others outside the immediate department, consistent local practice and within budget.

- Pay offers cannot be increased due to additional travel costs, childcare, travel time, parking, temporary posts etc. The applicant has chosen to apply for the post and should have taken account of the likely offer as explained in the Terms and Conditions sent to them before interview.
- When considering if it is appropriate to offer a salary above the minimum, managers should think about the wider generous terms and conditions package that the NHS offers, including an excellent defined benefit pension scheme, generous annual leave and a pay system that offers pay step movement through the pay scale, subject to satisfactory performance and the appraisal process.
- Once the above has been considered, and a higher salary is considered appropriate, a Salary on Appointment Form should be completed which must be agreed by the line manager, budget holder and Human Resources team before an offer is made to the preferred candidate. Approval from the Accountable Officer or Chief Finance Officer may also be required, and this may result in being unable to proceed with the appointment.
- The manager will be accountable for deciding which salary to offer and must be mindful of the Equality Act. The Equality Act makes it unlawful for employers to discriminate between men and women in terms of their pay and conditions where they are doing the same or similar work; work rated as equal; or work of equal value. For further guidance/concerns on Equality Act the manager can contact the Human Resources team.

26.2. A higher salary offer may result in being unable to proceed with the appointment.

27. Withdrawing a Provisional Offer of Employment

27.1. In the event that there are issues or concerns in relation to pre-employment checks received this should be discussed with the Human Resources team. If after careful consideration and discussion with the Human Resources team it is decided to withdraw the conditional offer of employment, the grounds for withdrawal must be very clear (e.g. due to unsatisfactory references or other pre-employment checks) and the offer of employment rescinded in writing.

28. Making reasonable adjustments

28.1. The CCG must make reasonable adjustments to the recruitment process if the job applicant has indicated a disability in their application form, the Recruiting Manager becomes aware of a disability or if the candidate asks for reasonable adjustments.

28.2. During the recruitment process the Recruiting Manager needs to establish what reasonable adjustments a disabled applicant requires during the interview process. For example, accommodating wheelchair users by having their interview on the ground floor or allowing candidates to complete a written test using a computer.

28.3. It is also important to determine whether the applicant could carry out a function essential to the role with the reasonable adjustments in place. For more information on reasonable adjustments please read the following Guidance relating to disability for the NHS (<https://www.nhsemployers.org/-/media/Employers/Documents/Pay-and-reward/Guidance-relating-to-disability-28-Jan.pdf>).

29. Induction

29.1. All new starters should be given a full induction by their Line Manager upon commencement. The aim is to welcome and inform new colleagues to the CCG so that new members of staff will be better able to:

- Describe the purpose, structures and functions of the Organisation and other NHS partners.
- Explain the information and communication systems within the organisation.
- Identify safe working practices in relation to the Organisation's guidelines, policies, and procedures.
- Discuss statutory and mandatory training requirements and ensure they have access to this.
- Discuss the arrangements for assessment of performance in line with the Probation Policy.

The induction checklist can be found in Appendix 6.

30. Fraud and Bribery

30.1. The CCG is committed to reducing fraud in the NHS as it diverts valuable resources away from patient care. Therefore, consideration has been given to the potential for fraud and corruption to occur in relation to this policy and what action should be taken.

The CCG will, where there is a suspicion of fraud or where fraudulent information may have been provided investigate the matter in line with the CCG's Fraud, Bribery and Corruption Policy and Disciplinary Policy and Procedure.

Any concerns over deliberate misapplication of the policy should be reported to:

- Trust's Counter Fraud Specialist or Chief Finance Officer
- Tel: National Fraud and Corruption reporting line on 0800 028 40 60
- Online at <http://cfa.nhs.uk/reportfraud>.

31. Complaints

31.1. If an applicant is unhappy with their feedback, or any stage of the recruitment and selection process, they can address their concerns, in writing, to the Recruiting Manager.

32. Due Regard

- 32.1. This policy has been reviewed in relation to having due regard to the Public Sector Equality Duty (PSED) of the Equality Act 2010 to eliminate discrimination, harassment, victimisation; to advance equality of opportunity; and foster good relations between the protected groups.

33. Implementation and Dissemination of the Document

- 33.1. The document has been fully ratified by the Joint Commissioning Committee and will be published and made available to all employees via the CCGs' intranet.

34. Monitoring and Review

- 34.1. The policy will be reviewed in line with the review date or before in the case of where there are legislative changes. Monitoring of the policy will be carried out by the Corporate Team.

APPENDIX 1

Guidance on Creating a Job Description

A job description is an outline of the main duties and responsibilities of the post. It should help to prepare the job advertisement and is useful to send to potential candidates and in setting objective criteria for shortlisting and selection.

A job description should be clear, concisely written, up-to-date, and accurately reflect the duties to be performed. It should set out the responsibilities, objectives and relationships associated with the post.

Duties should relate to the business objectives of the Department/CCG.

As a minimum it should include:

- Post Title (this should be referred to in the advert, person specification and contract of employment etc.).
- Pay Band.
- Department / Location.
- Lines of responsibility.
- Post summary / overall purpose of the role - this should be relatively brief but contain the key elements of the role.
- Risk assessment.
- Principal duties / responsibilities.
- Requirements to adhere to CCG Policies and / or Procedures, e.g. Health and Safety at Work, Equal Opportunities, etc.
- Other Duties - This could include a statement that the postholder 'may be required to undertake such other duties and training and / or hours of work as may be reasonably required to be consistent with the general level of responsibility of the post.'
- Confidentiality - Include a clause stating that it is a condition of employment that confidential information which may be obtained in the course of duty must not be disclosed.
- Variations - A statement should be included to state that the CCGs reserve the right to vary the content of the job description, after consultation, to reflect changes to the role and / or service developments.
- At the end of the job description there should be the name of the person(s) who prepared it, who approved it and the date it was produced / amended / reviewed.

APPENDIX 2

Guidance on Compiling Person Specifications

The person specification is one of the first decision making steps in the recruitment and selection process. A badly worded person specification will make fair selection impossible and is likely to lead to subjective judgements.

A person specification should set out a profile of the main competencies, skills and experience that will be required from the postholder based on requirements of the post as outlined in the job description.

Essential criteria mean that the postholder must possess these competencies in order to carry out the job effectively. Minimum essential criteria should not make demands which exceed the real needs of the job. Setting unnecessarily high standards might unfairly discriminate against certain groups, for example on the grounds of race, age, gender, or disability and preclude them from applying for a job they may be fully able to do.

Desirable criteria cover those areas where the ideal candidate could have extra skills that would enhance job performance. It is important to determine how the competencies / criteria will be tested / evaluated i.e. proof of qualifications, ability tests etc.

All person specifications must be: -

Agreed

All selection panel members must agree the criteria to be used at the start of the recruitment process. It will be the responsibility of the Appointing Officer to ensure that this is achieved.

Job Related

There must be a clear link between the criteria and the job description in order to determine the person's ability to do the job.

Ability Based

The criteria must be expressed in terms which describe the abilities being sought, e.g. 'must be able to communicate clearly and effectively both verbally and in writing.'

Clearly Defined

The criteria should be clearly expressed in terms which allow for as little scope for individual interpretation as possible, e.g. phrases like 'a good level of typing' should be avoided. A more specific statement would be 'must be able to type to a standard of (state the number) words per minute'.

Measurable / Observable

The criteria must be measurable and / or observable to avoid subjective decisions being made.

Justifiable

It may be necessary to refer to genuine occupational qualifications or relevant experience, but care must be taken to ensure that such criteria are really necessary and are not potentially discriminatory.

Consistently Applied

The identified criteria should be consistently applied throughout the selection process and remain unchanged. It is advised that all person specifications are drawn up by using the information contained in the job description, which should describe the knowledge, skills and other attributes that are **essential** to perform the job. If during the process it is found necessary to change any of the criteria, all candidates will need to be reconsidered in accordance with the new standards.

Sections of the Person Specification:

Qualifications / Training

Define the level of education and examination standard that the job requires, including professional and technical qualifications. Consideration should always be given to other qualifications of an equivalent level e.g. overseas qualifications or NVQ's. Although some jobs do require a particular qualification, care must be taken not to define higher qualifications than are actually necessary as this may be seen as discriminatory. Similarly, relevant experience may be considered in place of a qualification e.g. a person may have substantial experience of management but may not possess an MBA.

Always reflect on why you require a particular qualification. Qualifications are not necessarily an effective measure of competence, and thus may exclude some able applicants. Not only is it important to indicate the exact level of education required such as GCSE, A Level, Degree but also the level within the qualification, such as 'GCSE Grade C or above in English Language' or 'a first-class Management Degree'

Experience

Define the experience, not necessarily just work related, that it is necessary for a person to have to perform the job in question.

Avoid specifying an arbitrary number of years' experience. Instead state the quality and range of experience rather than the length of experience; For example "2 years' experience as a band 5" is not an accurately indicator of proficiency; two individuals quoting the same length of experience can have markedly different levels of competency and abilities. Instead, state "demonstrable experience at Band 5" and test this through probing / scenario questions at interview.

Remember, experience may not always have been gained at work; valuable experience may have been gained through voluntary activities, hobbies, carers responsibilities etc.

Skills / Knowledge

This relates to the specific skills and knowledge the person is required to bring to the role and describes the behaviour needed for effective performance.

Examples include the need for 'presentation skills' or 'report writing skills'. If someone requires skills in the use of IT software packages then it is important to list these e.g. Microsoft Word, Excel, or PowerPoint etc.

In terms of knowledge it is important to identify the levels needed and so for instance the phrases 'a **working knowledge** of disciplinary procedures' or 'a **detailed knowledge** of employment law' should be used.

Personal Qualities

This area should refer to the particular values behaviour that is essential to the post but is often the most difficult to test objectively and care should be taken to avoid assumptions or stereotyping. It is essential that NHS employees are able to demonstrate the NHS Constitution Values.

It is recommended that you include phrases such as ‘an ability to maintain effective working relationships’, ‘ability to work to and meet deadlines’, ‘ability to work on own initiative’. These are all qualities that can be tested at interview through probing / scenario questions.

Other Job Requirements

This is to be used to list any criteria that do not fit neatly into any of the other categories. However, be careful about listing particular physical or health related requirements as they may be seen as discriminatory if they cannot be shown to be a genuine requirement for the job. If there are physical requirements associated with the job, then be specific e.g. ‘must be able to move patients using appropriate lifting aids’ and avoid broad statements such as ‘must be fit and healthy’.

Examples of potentially discriminatory requirements:

- Age limits (i.e. women with family responsibilities, mature students educated outside Europe, delayed academic attainments for candidates with disabilities).
- Present employment status, seniority, experience rather than knowledge (unemployment / underemployment because of gender, ethnicity, or disability)
- Unnecessary or unjustifiable educational or training standards (women with family responsibilities or people who were educated outside Europe)
- Clothing policies (may offend religious dress codes).

| Examples of potentially discriminatory criteria: | Replace with: |
|---|--|
| 2 years’ experience as a Secretary | Able to demonstrate competent typing, filing, diary management, use of Microsoft applications and telephone skills |
| Good communication skills | Ability to prepare & present reports / care records |
| Able to lift heavy loads | Able to undertake all manual handling duties using appropriate aids |
| Ability to drive (Unless a driving job / there are no other forms of transport that would be able to get the candidate to other destinations) | Able to travel |
| Well-Presented / smart | Conscious of appropriate image and self-presentation |

APPENDIX 3

Guidance on Interview Arrangements and Techniques

Interviews are generally the most common selection technique used. Other selection techniques can help to confirm information and provide additional evidence of a candidate's abilities and suitability for the post.

The structure and purpose of an interview is to establish whether:

- The candidate is suitable for the job.
- The job is right for the candidate.

Interview Arrangements

Managers are responsible for the administrative arrangements for an interview. If possible, give the candidates a brief tour of the department.

The role of the appointing manager is to chair the panel and to ensure that the interview is: -

- Conducted in an environment that will allow candidates to perform to the best of their ability.
- Held without interruptions.
- Conducted at a venue which is accessible to people with a disability (if this required).
- Conducted by **at least two members** on an interview panel, one of whom must be **trained** in recruitment and selection and equal opportunities. Unless a defined panel membership is required (for example medical staff) ideally the panel should not exceed three members.

Candidates with a Disability

Consider whether any adjustments need to be made to accommodate an interviewee who has indicated a disability on the monitoring form.

For instance:

- Candidates with a hearing impairment may only need to be able to clearly see the interviewer as they are talking but may need communication support if they are not to be placed at a disadvantage.
- Is there an alternative to steps for access to the building? Can the interview take place elsewhere, where access might be easier for someone with a physical disability?

There are restrictions on questions that may be asked about disability or health.

You must only ask health or disability related questions that are relevant to establishing the person's ability to carry out functions that are intrinsic to the job. Advice can be sought from Human Resources if required.

You must not ask questions about an individual's attendance record or absence history. Questions relating to health can only be asked after the unconditional offer has been made and once the occupational health check has been completed.

Issues of disability which may affect the job should be addressed positively and discussed during the interview. Panel members should not make assumptions but talk to each disabled person about what might help or what the real effects of the disability might be. The individual may have useful suggestions or helpful clarifications.

General Guidance

- Under the 2010 Equality Act, when interviewing people for a job there are certain questions you should not ask; such as whether a candidate is married, is a partner in a same-sex civil partnership, plans to have children or any other question relating to age.
- Selection decisions must be arrived at on the suitability of the candidate to do the job and must not be influenced by the racial or sexual profile or previous job holder/s or with the existing staff within the department.
- Explanations must be sought in relation to any gaps in employment.
- Care should be taken in using language or jargon which may not be understood by a candidate.
- Job share candidates should be treated equally to those candidates wishing to work full time.
- Questions should relate to the requirements of the job and, where it is necessary to assess whether personal circumstances will affect performance of the job (e.g. ability to work evenings or be part of an on-call rota), this should be discussed objectively with all candidates without detailed questioning based on assumptions about marital status, children, religion etc.
- If any member of the interviewing panel feels that discrimination has occurred in the selection process, the matter should be raised immediately with the panel and Human Resources team. No selection decision should be made until the issue is resolved.
- It is also worth remembering that what is said at interview can form part of a contract of employment if you offer the candidate the job and may be legally binding. Therefore, you should not make any salary offers which do not follow the guidance included in this policy. Individuals who are transferring from another NHS organisation will have their service confirmed with an Inter-Authority Transfer and be paid on the minimum of the band until this has been confirmed. Individuals coming from outside the NHS will generally start on the lowest point of the band.

Interview Techniques

The following pointers may be helpful in conducting the interview:

- Introduce yourself and other interviewers; this also gives the candidate time to settle down.
- Explain the format of the interview.
- Give some background information about the CCGs and the job
- Structure the questions to cover all the relevant areas. Ask open-ended questions (i.e. ones that cannot be answered just by a yes or no answer) will encourage the candidate to speak freely – they often begin ‘what’, ‘why’, ‘when’ or ‘how’.
- Avoid leading questions.
- Be careful not to fill silences by talking too much – the aim of the interview is to draw information from the candidate to decide if they would suit the job. The candidate should do most of the talking.
- Explore any unexplained gaps in the employment history.
- Listen, and make brief notes which can be added to after.
- Have a time frame and keep to it, allowing sufficient time for candidates to ask any questions they might have.
- Make sure the candidate is familiar with the terms and conditions of the job, and they are acceptable.

- Tell the candidate what will happen next and when to expect to hear from the organisation.

Internal Candidates

Where an applicant is an internal candidate they should be treated in the same way as any external applicant. Where the internal candidate is offered the post, the offer will still be conditional on occupational health clearance, DBS checks (formerly known as CRB checks) and satisfactory references.

Interview Feedback

When informing the candidates of the outcome, the appointing manager should be prepared to give constructive feedback. Many candidates look upon the interview as a learning experience and feedback is an important aspect and should be handled sensitively. There needs to be a valid reason for the panel's decision not to appoint otherwise the panel could face a claim for discrimination.

Additional Recruitment Methods

Interviews alone are a poor method of assessing a candidate's potential. The use of skills tests will enhance reliability as they provide more information about the candidate and allow them to demonstrate such skills. Care should be taken to ensure that the skill or attribute being measured is necessary in order to do the job and only properly validated tools and techniques should be used which do not discriminate and are only administered by appropriately trained personnel. The choice will depend upon the level of the job and the HR Recruitment Team will be able to offer advice and support.

APPENDIX 4

Interview Questions Summary Sheet

The Interviewing panel must use this form to record the details of each interview and the scoring against each area of assessment.

IMPORTANT: In line with the Equality Act (2010) it is now illegal for an organisation to ask applicants questions in relation to their previous absence, health issues or disabilities prior to offer (with the exception of making specific arrangements for candidates with a disability to attend an interview).

With this in mind please ensure that no questions are asked about previous absence or health during the interview process.

Additionally, discussions around age and dependencies should not be discussed.

For successfully appointed candidates, when the forms are completed please return this along with the “Capture Form & NHS employers ID check ” to the Human Resources Team via e-mail on mlcsu.recruitment@nhs.net who will ensure that the conditional offer of employment letter and additional pre-employment checks are commenced.

For unsuccessful candidates, all forms can be attached to the applicants file on Trac. If not, they need to be retained by the Recruitment Manager for no more than 13 months in a secure cabinet/draw. Any ID copies taken for unsuccessful candidates can be shredded immediately.

Following Interviews, the Lead interviewer will need to log onto Trac and Update ALL interview outcomes. It is imperative that all outcomes are recorded for reporting and improvement opportunities.

| | | |
|----------------------------------|---|---|
| Job Title & Reference | | |
| Candidate Name | | |
| Date & Time | | |
| Assessor / Panel Member | | |
| Scoring Criteria | 0 | Question not answered, failed to meet criteria, significant concerns with the response. |
| | 1 | Limited response to the question, some criteria met but with major gaps, major concerns with the response |
| | 2 | Majority of the question answered, criteria demonstrated with some minor gaps, little concerns with the response. |
| | 3 | Question fully answered, significantly met, or exceeded criteria, no concerns with the response. |

| Number | Question | Assessment Criteria | Comments | Score |
|--------|----------|---------------------|----------|-------|
| 1 | | | | |
| 2 | | | | |

| Number | Question | Assessment Criteria | Comments | Score |
|--------|----------|---------------------|----------|-------|
| | | | | |
| 3 | | | | |
| 4 | | | | |
| 5 | | | | |
| 6 | | | | |

| Number | Question | Assessment Criteria | Comments | Score |
|---|----------|---------------------|----------|-------|
| Questions from the Candidate | | | | |
| Any Additional comments from the Assessor/ Panel Member | | | | |
| Total Score | | | | |

Please complete the “Capture Form & NHS employers ID check” – this covers essential information regarding your candidate and will be used by recruitment when processing successful candidates and also by yourself during Induction of successful candidates

APPENDIX 5

Interview Capture Form & NHS Employers ID check

To be completed at the end of every interview and scanned with all interview notes and supporting ID documentation.

| Question | YES/ NO | Details |
|--|---------|--|
| <p>Reference Validation: Review & Discuss employment history stated on the application form.</p> <p>Has any of your employment history (within the last 3 years) been through an agency?</p> <p>If yes, on your application have you entered contact details for the agency or those of your line manager during your assignment?</p> | | <p>If yes to both questions – please use the attached Reference capture form to obtain dates and contact details for the agency.</p> |
| <p>Additional Employment: Is this going to be your only job?</p> | | <p>If no, ask for details.</p> <p>The candidate will need to read the Working time directive and complete the Dec of additional Employment during their induction, this should be added to the candidates HR file.</p> |
| <p>Conflict of interest: If appointed to this role, will this lead to any possible conflict of interest? e.g. other NHS employment</p> <p>Refer to answer on the monitoring page of the app form.</p> | | <p>If yes, please ask the candidate to complete the Declaration of interest form during their induction and add to their HR file.</p> |
| <p>Notice period: Do you have a notice period? How long? Is this negotiable?</p> | | <p>If yes, please provide details</p> |
| <p>Other</p> | | |

Agency Reference Capture details/Amendments to original references
Please note we are unable to accept personal e-mail addresses.

| | | |
|--------------------------------|---------------|-----|
| Company name: | Dates - From: | To: |
| Referee's name: | | |
| Referee's job title: | | |
| Company address: | | |
| Referee's telephone number: | | |
| Referee's work e-mail address: | | |
| Relationship with referee: | | |

| | | |
|--------------------------------|---------------|-----|
| Company name: | Dates - From: | To: |
| Referee's name: | | |
| Referee's job title: | | |
| Company address: | | |
| Referee's telephone number: | | |
| Referee's work e-mail address: | | |
| Relationship with referee: | | |

| | | |
|--------------------------------|---------------|-----|
| Company name: | Dates - From: | To: |
| Referee's name: | | |
| Referee's job title: | | |
| Company address: | | |
| Referee's telephone number: | | |
| Referee's work e-mail address: | | |
| Relationship with referee: | | |

NHS Employers ID check – Signature Verification

The Recruiting Manager must ensure every candidate at interview provides their Pre-Employment Checklist along with requested ID forms at interview to ensure the NHS Employment Check Standards are met. All candidates are asked to download the pre-employment checklist upon successfully booking their interview slot on Trac.

Conducting a face-to-face meeting is an important and integral part of the recruitment process, providing an opportunity to compare any photographic and other information provided (such as date of birth) with the likeness of the person presenting themselves and this is why it is important that these checks are carried out at interview.

Please ensure that all copies of the documents obtained during the interview along with the Pre-Employment Checklist and this form are returned to the Recruitment team (mlcsu.recruitment@nhs.net) along with the Interview Outcome Form.

If a candidate does not attend their interview with their documentation, then unfortunately the candidate cannot e-mail/post copies of the identification documentation at a later date. In line with the NHS Employment Check Standards and Safer Recruitment Guidance the recruiting manager must verify the identification in person in order to ensure the person presenting the identification is the person who was interviewed. We recommend that for any successful candidates that you arrange an appointment for the candidate to come back in with the correct documents asap.

ID verification Sign Off

By signing the below, you are confirming that you have provided/seen original ID documentation for the applicant named below and that they are a true likeness.

Candidate

| | |
|--------|--|
| Name | |
| Signed | |
| Date | |

Evidence Checker

| | |
|--------|--|
| Name | |
| Signed | |
| Date | |

INDUCTION & WORKPLACE ORIENTATION FORM

Must be completed in the First Week of Employment

The organisation recognises the importance of a thorough and consistent induction into the workplace. This orientation document provides a framework that will assist managers to familiarise new members of staff with their local environment, the organisation, and the policies and standards essential for the effective performance of their duties.

This is not an exhaustive document but a **minimum** framework that you should use during induction and develop to address any specific needs within each workplace or job role.

THE ORIENTATION FORM SHOULD BE USED THROUGHOUT THE INDUCTION PERIOD AND ONLY SIGNED OFF WHEN THE NEW STARTER IS CLEAR IN ALL AREAS.

Employee: I have completed all aspects of my workplace orientation and I am satisfied with the level of my understanding of the relevant areas.

| | |
|--------------|--|
| Name | |
| Job Title | |
| Signature | |
| Date | |
| Date in Post | |

Manager: I am satisfied that the employee has completed their workplace orientation and that they have a clear understanding of what is expected of them

| | |
|-----------|--|
| Name | |
| Job Title | |
| Signature | |
| Date | |

The Manager and employee should forward a copy of the completed orientation to gemma.cook7@nhs.net within one month of their start date.

| INDUCTION AREAS | SOURCE / LOCATION | Tick to confirm completion | | | |
|---|-------------------|----------------------------|--|--|--|
| 1. NEW STARTER - to be completed/checked on first day | | | | | |
| Completion of New Starter Form | Corporate Team | | | | |
| Signed copy of Contract of Employment and returned to mlcsu.recruitment@nhs.net & all other HR forms sent with New Starter Pack | Corporate Team | | | | |
| Confidentiality and data protection declaration - http://nww.worcestershire.nhs.uk/staff-resources/corporate/information-governance/ | Corporate Team | | | | |
| Allocation of IT equipment, login instructions and set up | Corporate Team | | | | |

| 2. WORKPLACE ORIENTATION & ESSENTIAL INFORMATION | | Coach House, Worcester | Barnsley Hall, Bromsgrove | Acton House, Worcs (CHC) | St Owens, Herefordshire CCG |
|--|--|------------------------|---------------------------|--------------------------|-----------------------------|
| Tour of working area, including: | Business Support Officer / Corporate Team, Staff Handbook | | | | |
| • Staff Facilities – lockers, kitchen, toilets, break out space etc | | | | | |
| • Car Parking, including passes where necessary | | | | | |
| • Entrances/exits/access times to the building | | | | | |
| • Security procedures, e.g. wearing ID badges/alarm systems/security codes | | | | | |
| • Meeting/conference rooms location/booking | | | | | |
| • Refreshment arrangements, including tea/coffee fund | | | | | |
| • Telephone / Scanner / Photocopier | | | | | |
| • Shredding & Recycling bins | | | | | |
| • Fire & Evacuation Procedure (exits/alarms/extinguishers) | | | | | |
| • Post – in and out | | | | | |
| • Stationery – central supplies and ordering | | | | | |
| • Introduction to colleagues | | | | | |
| • Introduction to Intranet including staff directory | | | | | |

| 3. EMPLOYMENT INFORMATION | | Completed | Date |
|--|--|-----------|------|
| Structure of organisation / department including senior management structure and relevant team | Line Manager, Staff Handbook, Intranet | | |
| Hours of work/time keeping/work life balance | | | |
| Salary Arrangements/pay slips/pay day, Payroll contact no. | | | |
| Annual leave procedure & booking process | | | |
| Travel claim procedure | | | |
| Sickness / absence reporting | | | |
| Telephone/internet usage | | | |
| Use of workplace equipment and security | | | |
| Dress Code | | | |
| Maintaining professional registration (if required for role) | | | |
| Professional accountability | | | |
| CCG file storage and document control protocols | | | |
| Acceptance of gifts and hospitality | | | |
| Declaration of Conflicts of Interest | | | |
| PDR (Performance Development Review) policy | | | |
| Performance Development Review – Book 1 st within 3 months of start date | | | |
| Check if member of TA / Governing Body / Magistrate / MP *Check Special Leave Policy | | | |
| Internal communications e.g. weekly update | | | |

| 4. CCG Policies and Procedures | | Completed | Date |
|--|--|-----------|------|
| <i>Confirm location of policies on the CCG Intranet and draw attention of particular policies of relevance</i> | | | |
| • Area Prescribing Committee | <i>Strategic coordination of medicines prescribing across primary and secondary care</i> | | |

| | | | | |
|--|---|---|--|--|
| • Commissioning Policies / Individual Funding Requests (IFR) | <i>List of policies covering services routinely funded by the CCGs in Worcestershire</i> | Line Manager Staff Handbook for summary Intranet for full policies | | |
| • Corporate Policies | <i>Including Conflicts of Interest Policy, Risk Management Strategy, Scheme of Delegation and Standing Financial Orders, On-Call Policy</i> | | | |
| • Information Governance | <i>Including Information Security, Internet and Email Access, Mobile Devices, Staff Code of Conduct, and IG Handbook</i> | | | |
| • Health and Safety | <i>Including Health and Safety, Incident Reporting, Lone Working</i> | Line Manager Staff Handbook for summary Intranet for full policies | | |
| • Human Resources | <i>Including annual leave, Equality and Diversity, Flexible Working, Sickness Absence, Probation Period</i> | | | |
| • Quality Policies | <i>Including Serious Incidents, CHC Commissioning, Personal Health Budgets</i> | | | |
| • Safeguarding | <i>Including Safeguarding Adults, Safeguarding Children</i> | | | |

| 5. STATUTORY & MANDATORY REQUIREMENTS <i>New starters will be required to complete all Statutory & Mandatory Training within the first month of employment subject to information provided via an Inter Authority Transfer via ESR. Line Managers should ensure satisfactory compliance and completion.</i> | Source / Frequency | For completion by | Employee's Date of Completion | Line Manager Verification |
|--|--|--------------------------|--------------------------------------|----------------------------------|
| Basic PREVENT Awareness | ESR / 3 years | All | | |
| Display Screen Equipment | ESR / On employment | All | | |
| Equality, Diversity and Human Rights (Level 1) | ESR / 3 years | All | | |
| Fire Safety | ESR / Annual | All | | |
| Fraud and Bribery Awareness | Face to face / 2 years | All | | |
| Health, Safety and Welfare | ESR / 3 years | All | | |
| Infection Prevention and Control (Level 1) | ESR / 3 years | All | | |
| Information Governance | WebEx on employment Face to face / Annual | All | | |
| Moving and Handling (Level 1) | ESR / 3 years | All | | |

| | | | | |
|---|---------------|--------------|--|--|
| Safeguarding Adults (Level 1) | ESR / 3 years | All | | |
| Safeguarding Children (Level 1) | ESR / 3 years | All | | |
| Managing Conflicts of Interest <i>(for those with decision making responsibility, including exec leads, GB and Committee members – see Management of Conflicts of Interest Policy for further information)</i> | ESR / Annual | As specified | | |
| <p>In addition to the designated Statutory and Mandatory modules specified above, the LMS system provides a range of modules that are required for specific roles within the NHS. There is also a range of modules to support line management, personal development and health and wellbeing. All staff are encouraged to review the full catalogue of training available and complete any modules of relevance to their role.</p> | | | | |