

RECRUITMENT AND SELECTION POLICY

Last Review Date	January 2018
Approving Body	Executive Committee
Date of Approval	January 2019
Date of Implementation	March 2019
Next Review Date	January 2021
Review Responsibility	Associate Director of HR & Corporate Services
Version	0.2

REVISIONS/AMENDMENTS SINCE LAST VERSION

Date of Review	Amendment Details
November 2013	<p>The original PCT document has been revised to:</p> <ul style="list-style-type: none"> • Reflect the Clinical Commissioning Group Establishment • Reflect the Clinical Commissioning Group structure • Align to the Clinical Commissioning Group Human Resources and Organisational Development Policies and procedures • Align to outsourced arrangements for Recruitment
September 2014	<ul style="list-style-type: none"> • To reference the use of probationary periods
January 2018	<ul style="list-style-type: none"> • To reflect the current CCG structure, roles and responsibilities • Amended to reflect new arrangements for the approval process to recruit to vacant posts

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SECTION A – POLICY

1. Policy Statement, Aims and Objectives

- 1.1. The Recruitment and Selection Policy is designed to support managers in providing a fair, consistent and effective approach to the recruitment of all employees, in accordance with employment law and best practice.
- 1.2. NHS Doncaster Clinical Commissioning Group (CCG) actively promotes equality of opportunity for all and welcomes applications from a wide range of candidates.
- 1.3. The application of this policy ensures that the CCG is fully compliant with the NHS Employment Check Standards and the Disclosure and Barring Service (DBS) code of practice and undertakes to treat all applicants fairly.

2. Legislation and Guidance

- 2.1. The following legislation and guidance has been taken into consideration in the development of this procedural document.
 - Data Protection Act 1998
 - Equalities Act 2010
 - NHS Employment Check Standards
 - DBS Code of Practice

3. Scope

- 3.1 This policy applies to those members of staff that are directly employed by NHS Doncaster CCG and for whom NHS Doncaster CCG has legal responsibility. For those staff covered by a letter of authority / honorary contract or work experience this policy is also applicable whilst undertaking duties on behalf of NHS Doncaster CCG or working on NHS Doncaster CCG premises and forms part of their arrangements with NHS Doncaster CCG. As part of good employment practice, agency workers are also required to abide by NHS Doncaster CCG policies and procedures, as appropriate, to ensure their health, safety and welfare whilst undertaking work for NHS Doncaster CCG.

4. Accountabilities and Responsibilities

4.1 Overall accountability for ensuring that there are effective recruitment systems and processes lies with the Chief Officer. Responsibility is delegated to the following:

<p><i>Associate Director of Human Resources & Corporate Services</i></p>	<p>Has delegated responsibility for:</p> <ul style="list-style-type: none"> • Maintaining an overview of the corporate ratification and governance process associated with the policy.
<p><i>Remuneration Committee</i></p>	<p>Has delegated responsibility for:</p> <ul style="list-style-type: none"> • Authorisation of Recruitment and Retention Premia • Leading the development, implementation and review of the policy. • Supporting managers and employees with queries relating to the policy and procedure. • Work with the Workforce and OD service to provide training for all managers in dealing with the recruitment and selection process • Ensuring compliance with the policy. • Monitoring recruitment to ensure all required pre-employment checks have been completed. • Ensuring all the required documentation is placed on file and meets audit requirements. • Collecting and reporting equality monitoring data. • Identifying potential inequalities and proposing action to address these.
<p><i>Appointing Officers</i></p>	<p>Have delegated responsibility for:</p> <ul style="list-style-type: none"> • Ensuring they understand and adhere to their obligations in relation to this policy. • Ensuring all necessary pre-employment checks are carried out on prospective appointments, including temporary, secondment and agency staff. • Attending recruitment training. • Ensuring that the recruitment and selection

	<p>policy is applied fairly to all.</p> <ul style="list-style-type: none"> • Following the Probationary Periods Policy.
All Staff	<p>Have delegated responsibility for:</p> <ul style="list-style-type: none"> • Ensuring they understand their responsibilities in relation to this policy. • Providing all relevant information and documentation required. • Ensuring that professional registration is maintained (where appropriate). • Advising their recruiting manager or line manager of any changes in their circumstances. • Informing their line manager should they be charged with an offence or if their status changes with regard to checks during their employment.
Staff Side	<p>Have responsibility to:</p> <ul style="list-style-type: none"> • Ensure they are familiar with the policy and procedure • Advise and support employees who are members of a recognised Trade Union

5. Dissemination, Training and Review

5.1. Dissemination

5.1.1. The effective implementation of this procedural document will support openness and transparency. NHS Doncaster CCG will:

- Ensure all staff and stakeholders have access to a copy of this procedural document via the organisation's website.

5.1.2. This policy should be read in conjunction with the Probationary Periods Policy and the Induction, Mandatory and Statutory Training Policy.

5.1.3. This procedural document is located in the Employment Policy Manual. A set of hard copy Procedural Document Manuals are held by the Governance Team for business continuity purposes and all procedural documents are available via the organisation's website. Staff are notified by email of new or updated procedural documents.

5.2. Training

5.2.1. All staff will be offered relevant training commensurate with their duties and responsibilities. Support may also be obtained through their HR Department.

5.3. Review

5.3.1. As part of its development, this procedural document and its impact on staff, patients and the public has been reviewed in line with NHS Doncaster CCG's Equality Duties. The purpose of the assessment (refer to Appendix 7) is to identify and if possible remove any disproportionate adverse impact on employees, patients and the public on the grounds of the protected characteristics under the Equality Act.

5.3.2. The procedural document will be reviewed every three years, and in accordance with the following on an as and when required basis:

- Legislatives changes
- Good practice guidelines
- Case Law
- Significant incidents reported
- New vulnerabilities identified
- Changes to organisational infrastructure
- Changes in practice

5.3.3. Procedural document management will be performance monitored to ensure that procedural documents are in-date and relevant to the core business of the CCG.

SECTION B – PROCEDURE

1. Identifying a Vacant Post

- 1.1. When a vacancy arises the manager should consider the most appropriate way to cover the workload associated with the vacancy. Prior to drawing up a job description and person specification consideration should be given to the existing staffing levels, skill mix and working patterns within the team and/or wider CCG teams, to identify potential redeployments.
- 1.2. Consideration should be given to the following:
 - Can the work be eliminated?
 - Can the work be reabsorbed by utilising existing resources?
 - Are the duties and responsibilities the same as previously?
 - Is the time commitment the same?
 - Does the vacancy need to be filled permanently or temporarily?
 - Are there any future service developments that might impact on the vacancy?
 - Is there an opportunity to work jointly with other organisations?

2. Job Description and Person Specification

- 2.1. Having considered all the options and having established a requirement to recruit to a vacancy, a job description and person specification should be completed. Where the vacancy is to replace a post, the previous job description and person specification should be reviewed and revised where necessary. For a vacancy for a new post a full job description and person specification will be required.
- 2.2. The job description should summarise the role and responsibilities of the post in a concise and accurate way.
- 2.3. The person specification should define the qualifications, skills, experience and aptitudes that are required by a person to fulfil the role. The criteria must be categorised as essential (the minimum standard to perform the role adequately) or desirable (the standards which will enable the person to perform the job more effectively). The criteria must be measurable.
- 2.4. The job description and person specification should be prepared on the standard CCG template.

3. Job Evaluation

- 3.1. Job Descriptions and person specifications should be forwarded to Human Resources for evaluation. In the majority of cases, where the vacancy is a replacement for a previous post, there will be no requirement to re-band the post. If however the post is new, or if it has significantly changed, a job evaluation will be undertaken in accordance with the Agenda for Change Job Evaluation process. For posts that are not subject to Agenda for Change terms and conditions advice on job evaluation should be sought from Human Resources.
- 3.2. In exceptional circumstances posts may be advertised 'subject to evaluation'.

4. Financial/Establishment Control

- 4.1. Before any vacancy can be advertised approval must be sought from the Senior Management Team.
- 4.2. The Vacancy Control Form must be completed (appendix 1) by the line manager and submitted to a member of the Senior Management Team. SMT will consider each vacancy control form and approve or decline the request to recruit. Where approval is given the form will be signed and then passed to the Finance team to enter the cost centre and subjective code.
- 4.3. Once the Vacancy Control Form is complete this should be forwarded to Human Resources along with the job description, person specification and job advert.

5. Advertising a Vacancy

- 5.1. Human Resources will place job adverts and they will normally be 'open' for a period of two weeks. Manager who may wish to close their vacancy early due to volume of applications should agree a cut-off point with Human Resources and this should be clearly articulated in the job advert.
- 5.2. In the event of jobs being at risk either locally or nationally, a clearing house scheme may be place which would mean that suitable vacancies should be ring-fenced to employees who are at risk of redundancy. Advice will be given in these circumstances by Human Resources.
- 5.3. External vacancies will normally be advertised in the NHS Jobs website and applications requested online. Some posts may also be advertised via other media, for example professional journals. In accordance with responsibilities to the Equality Act, applicants will be offered an application form in an appropriate format where an online application is unsuitable for their individual requirements.

- 5.4. Where NHS Jobs is not suitable, bespoke services should be discussed with Human Resources. Any advertising costs associated with this will be met by the appropriate budget holder.
- 5.5. Vacancies may be advertised internally within the CCG, with only current employees eligible to apply. Internal advertisements can be placed via NHS Jobs or using e-mail via the HR team.
- 5.6. Applications will normally be requested online via NHS Jobs however alternative processes may be adopted such as requesting expressions of interest with CV and covering letter. Advice should be sought from Human Resources.

6. Shortlisting

- 6.1. Shortlisting should be completed through the NHS Jobs site (where used). A minimum of two shortlisting reviewers will be sent an email link once the vacancy closes. Where applications have not been via NHS Jobs the shortlisting matrix will be used.
- 6.2. Shortlisting must be carried out by examination of applications against the person specification and these must be applied consistently to all candidates on the basis of the information supplied in their applications. Where a large number of applicants satisfy the essential criteria other desirable criteria will systematically be applied to reduce the number of candidates. Under the CCG's commitment of the 'Positive About Disability Symbol' (Two Ticks), all candidates who meet the essential criteria and indicated that they have a disability, will automatically shortlisted.
- 6.3. Recruiting managers will not have access to any of the applicants personal information until after the shortlisting process has been concluded. The reasons for decisions not to shortlist should be clearly recorded on the shortlisting section of NHS Jobs and the shortlisting matrix. The information will be required as evidence if allegations of unfair treatment are made.

7. Interview Assessment

- 7.1. Interview panels will consist of a minimum of two people, at least one of whom must have undertaken Recruitment and Selection training. For clinical posts, at least one panel member should be a clinician from the speciality to which the position relates. Any external assessors involved in the selection process will be required to abide by the CCG's recruitment and selection processes.
- 7.2. Shortlisted applicants will be invited to interview with reasonable notice before the interview date. Where possible the interview date should be included in the advert. The panel will take into consideration the timing of the dates of interview for any faith based dates.

- 7.3. The appointing officer will ensure that all panel members follow procedures and fair recruitment practices.
- 7.4. Where previously advised by Human Resources, appointing officers are required to make reasonable adjustments that are required by candidates to take part in an interview so that they are not at a substantial disadvantage. The appointing officer will be responsible for coordinating arrangements for the interviews including room bookings, refreshments and facilitating any requests made by applicants with a disability.
- 7.5. Human Resources will supply the interview panel with an interview schedule along with contact details for the shortlisted candidates. An interview score sheet and a candidate appointment form will also be provided.
- 7.6. Each interview panel member is responsible for recording their own assessment of each candidate by completing the interview assessment form. Any additional papers should be attached. Applicants are legally entitled to view these documents and they can be used in Employment Tribunals.
- 7.7. Panel members should ask the same core questions of each candidate, using the interview evaluation form. These questions will be based on the criteria in the person specification and can be weighted if appropriate.

8. Additional Assessment Methods

- 8.1. Selection tests are an excellent method of assessing a candidate's ability to perform the duties of the post, providing they are relevant, reliable, fair and unbiased. Examples include typing tests, in tray exercises, writing a document, tests in the use of applicable software, case studies or scenario exercises and group exercises. It may be necessary to make reasonable adjustments to a test to accommodate a candidate with a disability.

9. Selection Decisions

- 9.1. Selection decisions must be objective and should only be made on the basis of how closely the candidates meet the person specification and interview assessment criteria.
- 9.2. Once a decision has been made the recruitment pack with all related documentation should be returned to Human Resources. The appointing officer will be responsible for contacting candidates with the outcome and providing feedback.

10. Pre-Employment Checks

- 10.1. Following the recruitment process pre-employment checks will be obtained. These must satisfy the requirements of the NHS Employers pre-employment check standards as follows:

- Verification of identity checks
 - Right to work checks
 - Registration and qualification checks
 - Employment history and reference checks
 - Criminal record checks
 - Occupational health checks
- 10.2. All pre-employment checks should meet these requirements prior to the candidate receiving a formal offer letter confirming appointment. The CCG will withdraw any offer of employment to anyone who fails to meet these requirements.
- 10.3. Evidence of all pre-employment checks conducted will be stored on individual HR files with a record of the outcome entered and maintained with the Electronic Staff Record (ESR).
- 10.4. Temporary workers should only be obtained through recruitment agencies approved by the Government Procurement Service. These agencies are responsible for obtaining pre-employment checks on all workers in line with all the NHS Employment check standards.
- 10.5. Appointing Officers should not agree a start date prior to all pre-employment checks being completed. The CCG will withdraw any offer of employment to anyone who fails to meet these requirements.
- 10.6. Further information in the specific process for obtaining these checks and the process for follow up of those who fail to satisfy the checking arrangements is available in Appendix 2.

11. Alert Letters

- 11.1. Alert letters are issued to notify NHS organisations and other about health professionals whose conduct could place patients or staff at serious risk.
- 11.2. Employees regulated by one of the following bodies are covered by this procedure any maybe subject to alert letters:
- General Medical Council
 - General Dental Council
 - Nursing and Midwifery Council
 - General Chiropractic Council
 - General Osteopathic Council
 - Health Professions Council
- 11.3. When alert letters are received they are forwarded to Human Resources to ensure that they can be checked against records of candidates going through

the recruitment process and existing staff. Their names will be entered on a local alert list database against which any potential new employees or workers will be checked before an offer of employment is made.

- 11.4. If an applicant is identified as being on the alert letter database recruitment will be halted, relevant parties informed and appropriate action taken.

12. Starting Salary and Incremental Dates

- 12.1. New employees from outside of the NHS should be appointed on the bottom salary point in the relevant band.
- 12.2. In exceptional circumstances the appointing officer may wish to make an offer higher than the bottom of a particular salary band, taking into account previous equivalent experience outside of the NHS. Appointing officers will need to consider to what extent the previous experience will be of relevance to their new post and make a clear rationale why a higher offer is appropriate.
- 12.3. In considering the case for making a higher offer of salary account should be taken of the other terms and conditions of service applicable to the post, for example:
- Any additional allowances attached to the post e.g. working outside normal hours; on call; recruitment and retention premia etc
 - The occupational pension scheme
 - Annual leave and sick leave entitlements
- 12.4. Salaries agreed must exist as a point on the pay band (for posts which are covered by agenda for change terms and conditions) and should never be higher than the maximum of the scale.
- 12.5. When a candidate already working for the NHS is offered a job that is at the same pay band as their current role, they would move across on the same pay point. When a candidate already working for the NHS is offered a job that is a higher pay band, pay should be set at the minimum of the new pay band. However, if this would result in no increase either because the individual is receiving a bonus or recruitment or retention premium or because they are at the top of the band, the individual would go to the first pay point in the band which would result in an increase in pay.
- 12.6. For newly appointed or promoted staff the incremental date will be the date they take up their post.

13. Recruitment and Retention Premia

- 13.1. The aim of a recruitment and retention premia is to ensure that the CCG remunerates all of its employees at a level at which recruitment and retention difficulties will not be encountered. Principles and definitions can be found in

appendix 3. Any recruitment and retention premia must be authorised by the Remuneration Committee.

14. Induction and Probationary Periods

- 14.1. All new employees must be fully inducted into the CCG in accordance with the Induction, Mandatory and Statutory Training Policy.

15. Starter Documentation

- 15.1. The appointing officer or line manager (if different) is responsible for ensuring that all new starter documentation is completed.
- 15.2. All new employees will be subject to a minimum 6 months probationary period. Further details are contained within the Probationary Periods Policy.

16. Managing Personal Relationships

- 16.1. Applicants will be required to declare on their application any personal/work relationship issue as this may cause a conflict of interest. Further information is included in appendix 6.

17. Secondary Employment

- 17.1. Employees may not engage in secondary employment (paid or voluntary) which conflicts with their work with the CCG, or which is detrimental to employees work with the CCG. Employees wishing to engage in secondary employment/voluntary work in addition to their primary post must refer to the working time regulations policy and declare their secondary employment to their line manager.

VACANCY CONTROL FORM

NB This Form must be fully completed by the Line Manager, approved by SMT, coded by Finance Staff and then authorised by the Chief Finance Officer BEFORE any commitments are made or adverts are placed.

For completion by Line Manager	
Team	
Directorate	
Reason for change (e.g. upgrading, new post, change in hours)	
Member of staff being replaced (if applicable)	
Post Number (from structure)	
Date the change is applicable from	
Job Title	
Band or VSM grade	
Contracted Hours	
Base Point	Sovereign House, Ten Pound Walk, Doncaster
Nature of Contract (e.g. permanent, fixed term, temporary)	
End date/ review date (if applicable)	

Reason for temporary, fixed term contract (if applicable)	
Has the change been budgeted for ?	
If not budgeted for, how will post be funded ?	

Request for Change Authorisation	
Signature of Line Manager	
Date	
Signature of SMT member	
Date	

Authorisation by Chief Finance Officer	
Signature of Chief Finance Officer	
Date	

For completion by Finance Staff	
Cost Centre	
Subjective Code	

Confirmation that post has been budgeted for	
Signature of Management Accountant	
Date	

For completion by ESR/ HR Team	
Position Number	
Structures created (location, organisation and position)	

Please return the completed authorised Form to Lisa Devanney, together with the Advert, Job Description and Person Specification summarising duties, experience, qualifications and skills required.

1. PRE-EMPLOYMENT CHECKS

1.1. Six NHS Employment Check Standard

NHS Employers have published a series of standards that detail the legal and mandated employment checks that NHS organisations must carry out to meet the Department of Health's core standards outlined within the Standards for Better Health. These checks will be carried out on all prospective employees including temporary, fixed term and voluntary workers.

1.2. Verification of Identity

The identity of all prospective employees must be reliably verified and recorded before any appointment can be made. Verification of identity checks are designed to determine that the identity is genuine and relates to a real person and to establish that the individual is rightfully using that identity.

All applicants are required to provide at interview, evidence of identity. This must then be then photocopied by the appointing officer (or nominated deputy) certified and retained with all the recruitment documentation. They must provide original identity documents in either of the combinations below:

- Two forms of photographic personal identification and one document confirming their address
- One form of photographic personal identification and two documents confirming their address

In addition, evidence will also be obtained of the applicant's signature. This will be acquired through the completion of a signature verification form that must be countersigned by the appointing officer (or nominated deputy) and retained with all the recruitment documentation.

1.3. Right to work checks

The CCG has a responsibility to prevent illegal migrant working in the UK. An individual must produce documents to prove they are permitted to work in the UK and that their identity is genuine.

If an individual is not subject to immigration control, has no restrictions on their stay in the UK or is a UK citizen, then they will still be required to produce a document or a specified combination of documents prior to commencing employment.

Where the individual has limited leave to be in the UK the checks will be repeated by Human Resources at least 3 months before expiry, until they provide specified documents indicating that they can remain permanently in the UK or until they leave the CCG's employment.

All documents provided by individuals must be checked following guidance on www.ukba.homeoffice.gov.uk. A certified copy of the documents is to be kept in the personal file.

Certain documentation is accepted as proof of an individual's identity and this must be produced prior to commencement of employment.

1.3.1. Work permits/Certificates of Sponsorship – Tier 2

If a prospective employee is not a British Citizen or a citizen of one of the EEA countries, they are likely to require a sponsorship certificate which will be applied for by the CCG to undertake employment. There are certain exceptions including:

- Swiss nationals
- A family member of an EEA or Swiss national who is in the UK exercising their treaty rights or a family member of an EEA or Swiss national who intends to join them in, or is travelling with them to, the UK
- A citizen of Gibraltar
- A Commonwealth citizen with permission to stay in the UK on the basis of UK ancestry.

If an appointing officer has questions about the likelihood of their post being suitable for a Tier 2 sponsorship certificate they should contact Human Resources for further information.

Where successful applicants require a sponsorship certificate the application process will be managed by Human Resources.

The CCG will have to demonstrate that the resident labour market has been tested appropriately by national advert for up to 4 weeks. This means that no EU/EEA Nationals were suitable to fill the post.

The individual applicant/employee is responsible for securing their leave to remain and entry clearance. They must also ensure they have appropriate documentation to support their leave to remain (passport stamps or identity card). Certified copies of these must be held on the employee's personal file for the duration of their employment.

The CCG will pay the sponsorship fee. The individual will be responsible for the payment for their leave to remain.

1.3.2. Refugees and Asylum Seekers

A refugee has rights under the Geneva Convention to be treated no less favourably than citizens of the host nation. In the UK refugees have the right to work.

Since 2003 asylum seekers do not have the right to work in the UK. Only a very small number of asylum seekers will have the right to work and if so it will state 'employment permitted' on their Application Registration Card (ACR).

1.4. Employment History and Reference Checks

Before any appointment is made it is essential to check the accuracy of a prospective employee's previous employment and/or training history. It is also necessary to receive assurance of an individual's qualifications, integrity and track record.

Appointing Officers should check the suitability of the supplied references at interview for all applicants and document and alternatives, if appropriate, on the preferred applicants candidate confirmation form. Human Resources will then contact the referees for the preferred candidate by e-mail.

References should always be obtained in writing and will be requested using the CCG's standard pro forma, although it may be necessary to further clarify information with the referee over the phone. Confirmation of employment and/or training should always be obtained in writing either via post, email, fax or using the organisation's preferred recruitment software (such as NHS Jobs or Health Jobs UK for example). Electronic confirmation must come from a company email address (private email addresses such as Yahoo, Hotmail etc are not acceptable). Employers, including agencies providing staff to the NHS, will need to satisfy themselves that both the referee and the organisation are bona fide. This could include checking that the organisation exists (using the phone book, internet or business directories). All references should include the referee's name, job title and a mainline switchboard number.

References should be appropriate in order to provide the best possible evidence on the suitability of an individual for a position. References should cover at least the last three years of previous employment and/or training history and they should include the applicant's current or most recent employer or training provider. Where an individual has been with one employer for five years or more, one reference may be sufficient. Where a prospective employee has changed employment frequently within the last three years, a sufficient number of confirmations must be obtained to cover the continuous three years history.

For internal appointments, a reference should be sought from the applicant's current/last NHS manager. Employers must assess whether any additional references are required to provide adequate assurances.

1.5. Registration and qualification checks

The purpose of registration and qualification checks is to ensure that all prospective employees are recognised by the appropriate regulatory body and that they have the right qualifications to do their job.

1.6. Registration Checks

Before any unconditional offer letter is issued Human Resources will confirm the individual is registered with the appropriate professional body. This is done via the professional bodies' website as per the organisation's Professional Registration

Policy. Evidence of this is printed by the workforce service and placed on the individual's personal file and documented on the starter checklist.

Professionally registered staff are required to maintain their professional registration throughout their employment. Further information is contained in appendix 4.

1.7. Qualification Checks

The CCG must ensure that all employees have the required qualifications to perform the role for which they are appointed. All applicants are required to provide at interview, evidence of any qualification that is required for the role. These must then be photocopied by the appointing officer (or nominated deputy) and retained with all the recruitment documentation.

1.8. Occupational Health Checks

Occupational Health Checks ensure that employees are physically and psychologically capable of doing their role, taking into account any current or previous illness. It is designed to identify anyone likely to be at excess risk of developing work-related diseases from hazardous agents present in the workplace and to ensure, as far as possible, that they do not represent a risk to others and that they will be doing work that is suitable and safe for them.

Occupational health checks should be carried out when a member of staff is first appointed to a position within the CCG or if they change positions, where this involves a significant change of duties.

Applicants successful at interview and who are defined as 'healthcare workers' are required to complete a full occupational health pre-employment questionnaire.

Those that do not fit this definition are required to complete a work health declaration form asking if:

- They are aware of any health conditions or disabilities that may impair their ability to undertake effectively the duties of the position which they have been offered.
- They have a health condition or disability which may affect their work and that may require special adjustments to the work or the work place.

The questionnaire or health declaration is sent to the successful applicant. A work health declaration form will only be submitted to the occupational health department if the applicant has answered yes to either of the above questions. Health questionnaires are sent directly to be reviewed by the Occupational Health department.

All checks must take into account the requirements of the Disability Discrimination Act 1995 (DDA) and Equality Act 2010 and reasonable adjustment must be made to ensure that people can work in the NHS regardless of physical impairment or learning disabilities. Occupational health checks should only be made once a job offer has been made.

Results of prospective candidate occupational health checks will be confidentially filed and stored in the occupational health department.

Once the occupational health department have reviewed all the information from the individual they will either issue a fit to work clearance certificate or provide a report detailing the applicant's suitability for the role and advising of any adjustments that would need to be made to the working environment in order to facilitate employment.

It may be necessary for individuals to attend the occupational health department in their first week of starting the new role in order to obtain any immunisation updates.

1.9. Criminal Background Checks/Disclosure Barring Service (DBS)

Guidance on the procedure for dealing with a disclosure check and the recruitment of ex-offenders is contained in appendix 5.

1.10. Recording Checks

Evidence of all pre-employment checks conducted will be stored on individual HR files with a record of the outcome entered and maintained by Human Resources on ESR.

1.11. Temporary/Agency/Contingent Workers

Temporary workers should only be obtained through recruitment agencies approved by the Government Procurement Service. These agencies are responsible for obtaining pre-employment checks on all workers in line with all the NHS Employment check standards.

2. Follow up for those who fail to satisfy the checking arrangements

Individuals will not be able to commence employment with the CCG until satisfactory pre-employment checks have been received.

If unsatisfactory check(s) are received, the matter will be escalated to the appointing officer and the following processes will apply:

2.1. Eligibility to work in the UK and Identity Checks

Failure by an applicant or employee to provide accurate information in regard to their eligibility to work in the UK or their identity checks will result in their immediate suspension from work without pay. At the same time the NHS Fraud team and the Home Office will be informed and an investigation undertaken by the appointing officer/line manager and Human Resources.

2.2. Employment History and Reference Checks

In the event of unsatisfactory employment history or reference checks being received, the appointing officer will be informed, enabling them to make a full review of the facts and circumstances and make a decision to recruit or withdraw the job offer.

2.3. Disclosure and Barring Service (DBS) Checks (Previously CRB)

In the event that a conviction or other information is contained on a disclosure, the appointing officer will be informed and with the support of Human Resources will make a decision, having considered all the relevant facts, as to whether it would be appropriate for the applicant to be recruited to the position. It may be necessary to meet with the individual to discuss this further as well as refer to other declarations the application may have made throughout the recruitment process, i.e. on the application form and at interview. Once all the facts and circumstances are determined a decision must be made as to whether to recruit or withdraw the job offer.

2.4. Professional Registration and Qualification Checks

Please refer to appendix 4.

2.5. Occupational Health

In the event of an unsuccessful occupational health check, the appointing officer will be informed and with the support of Human Resources and the occupational health team will reassure themselves that all facts and options for reasonable adjustment on the grounds of health have been considered, prior to any offer of employment being withdrawn.

The appointing officer/Human Resources must confirm in writing the reasons for withdrawing the offer of employment and this will be kept in the applicants recruitment file.

RECRUITMENT AND RETENTION PREMIA

1. Definition

- 1.1. Recruitment and Retention Premia (RRP) is an additional payment to the basic pay of an individual post or specific group of posts.
- 1.2. Recruitment and Retention Premia may be paid in circumstances where market pressures would otherwise prevent the employer from being able to recruit and retain staff in sufficient numbers for the posts concerned at the normal salary for a job of that weight.
- 1.3. Recruitment and Retention Premia is a supplementary payment over and above the basic pay that the post holder receives by virtue of their position on their pay band, any high cost area supplements, or any payments for unsocial hours or on-call cover.
- 1.4. Recruitment and Retention Premia will apply to posts rather than to employees. Where an employee moves to a different post that does not attract a recruitment and retention premium, either within the same organisation or elsewhere in the NHS, their entitlement to any previous recruitment and retention premium will cease and pay protection will not apply.
- 1.5. Both long term and short term recruitment and retention premia will be expressed as cash lump sums and will be separately identifiable from basic pay, any high cost area supplement, and any other component of pay.
- 1.6. Any locally awarded recruitment and retention premium for a given post shall not normally exceed 30% of basic salary. It will be the responsibility of the organisation to ensure that any premium awarded locally do not normally result in payments in excess of this amount. In the event that, following review and subject to a 6 month notice period the recruitment and retention premia is withdrawn, pay protection arrangements will not apply.
- 1.7. Recruitment and Retention Premia must be approved by the Remuneration Committee.

2. Short Term Premia

2.1. Short term recruitment and retention premia will apply where the labour market conditions giving rise to recruitment and retention problems are expected to be short term and where the need for the premium is expected to disappear or reduce in the foreseeable future. Short term premia will normally be applied for a period of no more than two years.

2.2. Short term recruitment and retention premia:

- May be awarded on a one off basis or for a fixed term
- Will be regularly reviewed (not less than annually)
- May be withdrawn, or have the value adjusted, subject to a notice period of six months
- Will not be pensionable, or count for the purposes of overtime, unsocial hours payments or any other payments linked to basic pay

3. Long Term Premia

3.1. Long term recruitment and retention premia will apply where the relevant labour market conditions are more deep rooted and the need for the premium is not expected to vary significantly in the foreseeable future.

3.2. Long term recruitment and retention premia:

- Will be awarded on a long term basis
- Will be regularly reviewed (not less than annually)
- May be awarded to new staff at a different value to that which applies to existing staff
- Will be pensionable and will count for the purposes of overtime, unsocial hours payments and any other payments linked to basic pay

4. Procedure

4.1. A recruitment and retention premia may be awarded on either a short term or long term basis, determined by the principles outlined in the following paragraphs.

4.2. To ensure consistency in the application of payment of recruitment and retention premia the CCG will require approval by the Remuneration Committee before offering to an employee/candidate.

4.3. A record of all recruitment and retention premia being paid will be retained, and a review of all premia will take place at least annually.

4.4. The CCG may use premium in two ways, either through recruitment, or through a requirement to retain staff, based on market shortage or a specific skill set, both of these may be applied in a long or short term capacity.

- 4.5. Recruitment and retention premia will be considered in cases where it is proven that adjustments to non-pay benefits are unlikely to improve the situation and one or more of the following conditions apply:
- There are documented labour market shortages within a defined geographical area
 - NHS employers locally have agreed jointly to pay supplements for designated posts and the organisation needs to remain competitive in the recruitment market for equivalent posts
 - There is a competitive non NHS labour market where salary survey data indicates that enhancements to Agenda for Change evaluated pay rates would be required to attract and retain staff
 - Where there is consistent data showing high patterns of turnover supported by exit interview data indicating a direct link to dissatisfaction with pay levels
- 4.6. If it is decided that the vacancy problem can be addressed most effectively only through payment of a recruitment and retention premium Remuneration Committee approval is required. The Remuneration Committee will consider whether the premium is short or long term.
- 4.7. Before consideration is given to payment of Recruitment and Retention premia to ensure retention of staff, management will ensure that non-pay benefits are sufficiently developed. Where possible local turnover rates should be compared with national rates. Regular analysis of exit interview data will be undertaken to assess how far pay is a factor in employee's decisions to leave the CCG.

PROFESSIONAL REGISTRATION

1. Principles

- 1.1. In order to protect the public and ensure high standards of clinical practice it is a legal requirement that the CCG may only employ registered practitioners in qualified clinical positions. This includes the following posts that have been accepted onto the register of the statutory regulatory bodies outlined in the NHS Employment Check Standards:
 - Medical and Dental
 - Nurses and Midwifery
 - Allied Health Professionals
 - Healthcare Scientists
 - Hearing Aid Dispensers
 - Practitioner Psychologists
 - Pharmacy Technicians
- 1.2. Employees are responsible for maintaining their registration with their relevant professional body.
- 1.3. Individuals who are not directly employed by the CCG (e.g. Agency and Locum Workers) but who nevertheless are engaged in work that requires professional registration must also hold current registration. The CCG will ensure that there are processes in place to check the on-going registration of such workers.

2. Procedure

- 2.1. This policy must be read in conjunction with any checking professional registration procedures.

2.2. Employees Responsibility

- 2.2.1. It is ultimately the responsibility of all employees who require professional registration to practice to ensure that they have the appropriate registration relevant to their employment/role. They must ensure that registration with their professional body remains current at all times and that they abide by their professional code of conduct.
- 2.2.2. Employees absent from the workplace, for instance on secondment, career break, suspension, maternity or long term sick will still be required to maintain their professional registration.
- 2.2.3. It is the duty of the individual to organise and pay the registration fee within the requested time limit and in line with renewal dates. Registered

Professionals going on holiday over the lapse period, or on long term sickness or away from the work place for other reasons e.g. secondment, must take action, in advance, to receive the appropriate cover. In exceptional circumstances it may not be possible to renew registration e.g. unforeseen illness within the timescale, for which the manager will use their discretion.

- 2.2.4. Employees/contractors must disclose to the CCG any conditions attached to his/her registration at the earliest available opportunity.
- 2.2.5. During the course of their employment employees must, on request by management or workforce service, provide evidence that their registration has been renewed in accordance with the procedures laid down.
- 2.2.6. All personal data, particularly name changes, must be communicated to both the line manager and the professional body to ensure accuracy of data. Failure to keep such details up to date will possibly leave the individual not receiving the appropriate reminder and thus the individual not being registered.
- 2.2.7. An individual in choosing not to register or allowing such registration to lapse would no longer be eligible to practice in that capacity and may be suspended from duty without pay as they are in breach of their contract. If after a maximum period of one month following expiry of registration the individual has failed to re-register, it will be assumed that the individual has broken their contract and their employment will automatically cease.
- 2.2.8. When staff take a career break they remain an employee of the CCG. However if the career break does not require them to maintain their professional registration, they will not be subject to the conditions within this policy in terms of failing to renew their registration. Once an individual returns to work all conditions/responsibilities will apply.
- 2.2.9. Where a Professional holding an honorary contract with the CCG, chooses not to register or allows their registration to lapse, their honorary contract will be withdrawn.

2.3. Line Manager Responsibility

- 2.3.1. Where line managers engage agency workers they must use an agency from one of the agencies listed in the Government Procurement Service. It is part of the contract with the agency to ensure that their workforce is on a position to practice by having a current registration. Where staff are seconded into the organisation, their employer remains the organisation with whom they have a substantive contract. If staff are working within the CCG as part of an SLA, their employer remains the organisation with whom they have a substantive contract, and as such this organisation should be ensuring that their workforce's registration is current.

- 2.3.2. In all cases, as a point of good practice, line managers should check the registration of the staff described in the above paragraph on the appropriate website.
- 2.3.3. Managers who identify or who are informed of a lapsed registration must take immediate action. Immediate actions will include:
- Contacting the employee
 - Ensuring the employee is withdrawn from undertaking the duties of a qualified clinician or professional with immediate effect
 - Discussing options with the employee and Human Resources
 - Checking re-registration with the relevant regulatory body and receiving proof of the renewal and retaining evidence in the personal file
- 2.3.4. When considering action to be taken, managers will take account of the following factors:
- Length of time since registration has lapsed
 - Reasons put forward for non- renewal
 - Whether the individual has knowingly continued to practice without registration and has failed to notify management
 - Any previous occasions when the individual has allowed their registration to lapse
 - Whether the individual has attempted to conceal the fact that their registration has lapsed
- 2.3.5. In consultation with Human Resources, the manager should consider the following options:
- Allowing the individual to take annual leave or time owing until their registration is renewed within an agreed time frame
 - Allowing the individual to take unpaid leave where no annual leave is available
 - Suspension of the individual from duty without pay, invoking the disciplinary process
 - Where feasible, the transfer of the individual member of staff to another area of work within the organisation that does not require registration

2.4. Human Resources Responsibility

- 2.4.1. Human Resources will check current registrations of all new starters to ensure that it is valid for the purpose of the practitioner's employment.
- 2.4.2. Human Resources will ensure that the registration details are placed on the ESR system and will ensure the details are maintained.
- 2.4.3. Human Resources will check that all practitioners have renewed their registration and ensure that this is entered to ESR.

- 2.4.4. For those that who are due to renew their registration, Human Resources will contact the individual concerned, copying in the manager, informing them that their registration is due for renewal and that if it is not renewed by the renewal date they will not be eligible to practice in that capacity and may be suspended from duty without pay immediately as they are in breach of contract.
- 2.4.5. If after a maximum period of one month following the expiry of registration the individual has failed to notify Human Resources of their re-registration, there will be a final check after which it will be assumed that the individual has broken their contract and their employment will automatically cease. During this time there will obviously be discussions between Human Resources and the appropriate manager and every effort will be made to facilitate the member of staff to re-register within the timescales set out.

DISCLOSURE OF CRIMINAL BACKGROUND AND RECRUITING EX-OFFENDERS

1. Principles

- 1.1. The CCG actively promotes equality of opportunity for all and welcomes applications from a wide range of candidates including those with criminal records. It undertakes not to discriminate unfairly against any subject of a disclosure on the basis of conviction or other information received.
- 1.2. Disclosures are only requested after an assessment has indicated that it is proportionate and relevant to the post concerned. For those posts that require a disclosure all adverts, recruitment briefs and application forms will contain a statement indicating what level of disclosure will be required in the event of an individual being offered a position.
- 1.3. Human Resources will advise and guide appointing officers where a disclosure has been made.
- 1.4. The CCG undertakes to discuss any matters revealed in a disclosure with the person seeking employment before withdrawing a conditional offer of employment.
- 1.5. The CCG may conduct an interview to enable an open and measured discussion to take place regarding any offences or other matters that might be relevant to the position. Failure to reveal information that is directly relevant to the position sought could lead to the withdrawal of the offer of employment.
- 1.6. The CCG complies fully with the DBS code of practice. Every individual who is subject to a disclosure will be made aware of this code of practice and a copy will be provided to all applications. The code includes the correct handling, use, storage, retention and disposal of disclosures and disclosure information. Disclosure information will be securely destroyed as soon as the relevant information has been noted.
- 1.7. Having a criminal record will not necessarily bar a potential employee from working with the CCG. This will depend on the nature of the position and the circumstances and background of the offence(s).
- 1.8. The CCG complies fully with its obligations under the Data Protection Act and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of disclosure information.
- 1.9. No disclosure information will be kept on personal files and where a disclosure needs to be kept due to a dispute or because additional information has been supplied it will be kept separately and securely in a non-portable, lockable storage unit.

- 1.10. Where disclosure information has been kept, it will be securely destroyed once the dispute is resolved or a decision has been made regarding employment or at the latest after 6 months.
- 1.11. Access to disclosure information is strictly controlled and limited to those who are entitled to see it as part of their duties.
- 1.12. For record purposes only the CCG will keep the following information:
 - The name of the subject
 - The level of the disclosure required
 - The position for which the disclosure was required
 - The unique reference number of the disclosure
 - Details of the recruitment decision taken
- 1.13. In accordance with section 124 of the Police Act 1997, disclosure information is only passed to those who are authorised to receive it in the course of their duties.
- 1.14. Disclosure information is only used for the specific purposes for which it was requested and for which the applicant's full consent has been given.
- 1.15. The CCG will comply with all recommendations from DBS on the correct use and safekeeping of the disclosure information.

2. Procedure

- 2.1. Disclosure applications are processed by West and South Yorkshire and Bassetlaw Commissioning Support Unit using the DBS to assess applicant's suitability for positions of trust.
- 2.2. When recruiting for a vacancy the appointing officer needs to assess whether a DBS check is necessary and what level of disclosure is required. This should be done prior to advertising to enable the information to be included in the advert.
- 2.3. Dependant on whether the role is eligible for a DBS disclosure Human Resources will ensure that the appropriate question is asked on the NHS Jobs application form.
- 2.4. Once the preferred candidate has been selected Human Resources will send the applicant disclosure application form and guidance booklet with instructions that the completed form must be returned with any supporting documentation that has not already been provided at interview.
- 2.5. The disclosure application form will be verified and countersigned by a member of the Human Resources team who are registered with the DBS and sent for processing.

- 2.6. If the disclosure application form contains information that may affect the appointment Human Resources will discuss this with the appointing officer and with the individual concerned where appropriate.
- 2.7. Where information contained on the disclosure application form significantly impacts on a candidates ability to undertake the post for which they have been appointed, any offer of employment must be withdrawn.
- 2.8. The decision to withdraw an offer of employment must be confirmed both verbally and in writing to the candidate concerned.

MANAGING PERSONAL RELATIONSHIPS

1. Application

- 1.1. Job applicants will be required to declare on their application any personal/work relationship.
- 1.2. The aim is to protect all staff within the CCG in situations where a personal relationship exists, or develops, so that staff cannot be accused of a conflict of interest, bias or be the subject of allegations from other staff.
- 1.3. In the majority of situations where a line management relationship exists the CCG will not support staff working together where they have a close personal relationship as described.

2. Personal Relationships

- 2.1. A personal relationship includes any relationship where a close family relationship exists for example, mother, father, daughter, son, sister, brother (and including step and in-laws) partner, ex-partner (including spouse or cohabitee), civil partner.
- 2.2. The scope of the term 'personal relationship' applies to prospective staff that have a relationship with a current member of the CCG's staff, or where a relationship starts during employment with the CCG.

3. Examples of Potential Conflicts of Interest/Bias

- 3.1. Situations where a personal relationship may expose staff to conflict of interest or bias include but are not restricted to, the following:
 - Perceived or alleged breaches of probity
 - Unfair advantage/favouritism
 - Breach of confidence/confidentiality
 - Harassment or bullying
 - Employee relations issues
 - Any other issues perceived to be gained from the overlap of a personal and professional relationship

4. Personal Relationship between staff with no line management relationship

- 4.1. This policy does not automatically prevent staff or prospective staff who have a personal relationship (described in section 2) from working together whilst employed by the organisation.
- 4.2. However, the existence of such a relationship must either be declared at the time of appointment/promotion or, if the relationship develops during their employment. Where there is a relationship this must be discussed with either the line manager or if more appropriate with Human Resources. Such a declaration will be strictly confidential.
- 4.3. Staff may normally continue to work together in the same team or department where this is appropriate, providing there is no conflict of interest and/or no line management relationship.

5. Personal relationship between staff with a line management relationship

- 5.1. Where a personal relationship exists, a prospective member of staff will not be appointed into a post which results in a line management relationship.
- 5.2. Where a personal relationship develops whilst working for the CCG, members of staff who are in a line management or supervisory relationship at work must not be involved in recruitment, selection, promotion, appraisal, pay or any other management activity or process involving the other member of staff.

Equality Impact Assessment

Title of policy or service contract:	Recruitment and Selection Policy	
Name and role of officer/s completing the assessment:	Andrea Richards, HR Manager	
Date of assessment:	January 2018	
Type of EIA completed:	Initial EIA 'Screening' <input checked="" type="checkbox"/> or 'Full' EIA process <input type="checkbox"/>	<i>(select one option - see page 4 for guidance)</i>

1. Outline	
Give a brief summary of your policy or service <ul style="list-style-type: none"> • Aims • Objectives • Links to other policies, including partners, national or regional 	<p>The Recruitment and Selection Policy outlines the process that the organisation will undertake when recruiting both for new or existing roles.</p> <p>The policy is applicable to all employees and adheres to NHSLA Standards, statutory requirements and best practice and makes all reasonable provision to ensure equity of process for all employees.</p>

Identifying impact:

- **Positive Impact:** will actively promote or improve equality of opportunity;
- **Neutral Impact:** where there are no notable consequences for any group;

- **Negative Impact:** negative or adverse impact causes disadvantage or exclusion. If such an impact is identified, the EIA should ensure, that as far as possible, it is either justified, eliminated, minimised or counter balanced by other measures. This may result in a 'full' EIA process.

2. Gathering of Information					
This is the core of the analysis; what information do you have that might <i>impact on protected groups, with consideration of the General Equality Duty.</i>					
(Please complete each area)	What key impact have you identified?			For impact identified (either positive or negative) give details below:	
	Positive Impact	Neutral impact	Negative impact	How does this impact and what action, if any, do you need to take to address these issues?	What difference will this make?
Human rights	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neutral impact.	
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensures that all applicants are treated equally regardless of their age.	Promotes equality in the workplace and the reputation of the organisation.
Carers	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neutral impact.	
Disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Doncaster CCG holds a 'two ticks' accreditation and operates a guaranteed interview scheme for applicants who declare they have a disability when they meet the minimum essential criteria for a role.	Promotes equality in the workplace and the reputation of the organisation.
Sex	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensures that all applicants are treated equally regardless of their sex.	Promotes equality in the workplace and the reputation of the organisation.

Race	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensures that all applicants are treated equally regardless of their race.	Promotes equality in the workplace and the reputation of the organisation.
Religion or belief	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensures that all applicants are treated equally regardless of their religion or belief.	Promotes equality in the workplace and the reputation of the organisation.
Sexual orientation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensures that all applicants are treated equally regardless of their sexual orientation.	Promotes equality in the workplace and the reputation of the organisation.
Gender reassignment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neutral impact.	
Pregnancy and maternity	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neutral impact.	
Marriage and civil partnership (only eliminating discrimination)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neutral impact.	
Other relevant groups	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neutral impact.	
HR Policies only: Part or Fixed term staff	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neutral impact.	

IMPORTANT NOTE: If any of the above results in '**negative**' impact, a 'full' EIA which covers a more in depth analysis on areas/groups impacted must be considered and may need to be carried out.

Having detailed the actions you need to take please transfer them to onto the action plan below.

3. Action plan				
Issues/impact identified	Actions required	How will you measure impact/progress	Timescale	Officer responsible
No anticipated detrimental impact has been identified.	There are no statements, conditions or requirements that disadvantage any particular group of people with a protected characteristic – therefore there is no required action identified	Policy will be monitored in line with changes in legislation and amended as necessary	In line with CCG Policy Review timetable.	HR Manager

4. Monitoring, Review and Publication				
When will the proposal be reviewed and by whom?	Lead / Reviewing Officer:	Associate Director of HR & Corporate Services	Date of next Review:	September 2020

Once completed, this form **must** be emailed to Gareth Jones Equality Lead for sign off @

Gareth.jones22@nhs.net.