

Recruitment and Selection

Reference No. W16.1

Additionally refer to:

- Equal Opportunities
- Management of Corporate and Local Induction
- Verification of Professional Registration
- Handling Concerns about Doctors and Dentists
- Travelling Expenses for Interview
- Recruitment and Retention Premia
- Flexible Working Policy
- CRB (DBS) Checks
- Management of Organisational Change
- Relocation Assistance
- Maintaining Personal Files and ESR Records
- Alternative Employment
- Agenda for Change Job Evaluation
- Occupational Health
- Probationary Period
- Employment References Policy
- Disciplinary Policy
- Secondment Policy
- Fixed Term Contracts & Temporary Workers
- Corporate Fit and Proper Persons Policy
- Managing Conflicts of interest in the NHS
- IG 23 Data Protection
- Employee Privacy Notice

Version:	V4.4
V4 approved by	Workforce Committee
V4 date approved	June 2020
V4 ratified by:	SaTH Leadership Committee – Operational (SLC-O)
V4 date ratified:	February 2021
Document Lead:	Recruitment Manager
Lead Director	Workforce Director
Date issued:	February 2021
Date of next review:	February 2024
Target audience:	All Trust employees with responsibility for recruiting staff and candidates applying for roles at the Trust

Version Control Sheet

Document Lead/Contact:	Recruitment Manager / louise.graham9@nhs.net
Version	4.4
Document ID	W16.1
Status	Final
Date Equality Impact Assessment completed	July 2020
Originally Issued	January 2006
Issue Date	February 2021
Review Date	February 2024
Distribution	Please refer to the intranet version for the latest version of this policy. Any printed copies may not necessarily be the most up to date
Key Words	Recruitment, selection, vacancy, job description, person specification, candidates, shortlisting, interviews, assessments, pre-employment checks, offers of employment, recruitment records, agency staff

Version history

Version	Date	Author	Status	Comment
V1	Jan 06			
V2	Dec 08	Liz Walton	FINAL	
V3	05.10.11	Deputy Head of Human Resources	Draft	Amendments to sections 12.5, 15 and 20 following feedback from NHSLA Addition of policy statement, definitions, references, and associated documentation Amendment to Job Titles following organisational restructure
V3.1	19.11.11	Deputy Head of Human Resources	Final	Minor amendments following TNCC
V4	10.5.19	Recruitment Manager	Draft	Policy updated and amendments made throughout policy
V4.1	24.5.19	Recruitment Manager	Draft	Minor amendments made following TNCC
V4.2	23.6.20	Recruitment Manager	Draft	Amendments to sections: 7.2, 10.1.4, 16.1 and 20, new sections added: 8.9, 10.1.5, 10.1.6, 10.1.7, 10.1.8, 11.2, 11.3 and 11.4. Now includes the Employment of People with Disabilities Policy.
V4.3	14.11.20	Recruitment Manager	Draft	Amendments made to front cover, sections: 11.1, 11.10 and new appendix - 6. Medical Staffing name change to Medical Recruitment.
4.4	11.11.22	Recruitment Manager	Final	Change to section 11 re process for Doctor's MPIT.

Contents	Page
Policy on a page	4
1 Document Statement	5
2 Overview	5
3 Definitions	5
4 Duties	6
5 Establishing a vacancy	7
6 Banding the Post	7
7 Job description and Person Specification	8
8 Attracting candidates	8
9 Selection process	9
9.1 Shortlisting	9
10 Interviews and other assessments	10
11 Pre-employment checks	10
12 Offers of employment	11
13 Recruitment records	11
14 Confidentiality	12
15 Agency Staff	12
16 Training Needs	13
17 Review Process	13
18 Equality impact assessment (EQIA)	13
19 Standards of Business Conduct	13
20 Process for monitoring compliance	13
21 References	14
Appendices	
Appendix 1a - Agency Worker Placement Checklist for the supply of medical locums	15
Appendix 1b - Agency Worker Placement Checklist for the supply of AHPs and HSS staff	16
Appendix 1c - Agency Worker Placement Checklist for the supply of agency nurses	17
Appendix 2 - Proposal for non-compliance with Agenda for Change Conditions	18
Appendix 3 - Recruiting Managers process for recruiting non-medical staff	20
Appendix 4 - Recruiting Managers process for recruiting Medical Staff – Consultants	21
Appendix 5 - Recruiting Managers process for recruiting Medical Staff – Non-Consultants	22
Appendix 6 – Recruiting Managers process for recruiting HEE Medical Staff	23

Policy on a page

- The Trust has an important role to play in the communities we serve, both as a provider of healthcare services and as a major employer. Effective and safe recruitment and selection is crucial to the successful functioning of the Trust and to the delivery of high quality patient care.
- The purpose of this policy is to ensure the appointment of high quality staff across all levels of the organisation through an effective, safe and fair recruitment and selection process.
- A flow chart for recruiting non-medical staff can be found on page 19.
- A flow chart for recruiting Medical Staff – Consultants is located on page 20.
- A flow chart for recruiting Medical Staff – Non-Consultants is located on page 21.
- A flow chart for recruiting HEE Medical Staff is located on page 24.
- The aims of the policy are: -

To ensure the appointment of staff who have the knowledge, skills, qualifications, abilities and experience to undertake their roles to a high standard;

Ensure the appointment of staff who demonstrate Trust values;

To ensure that applicants are selected on the grounds of ability and suitability for the available vacancies;

To ensure consistency and fairness in the selection process;

To comply with all legislative and NHS requirements; and

To ensure best practice in recruitment and selection

1 Document Statement

- 1.1 This policy describes the processes in place to ensure the safe, fair and effective recruitment of staff. It outlines the steps to be followed including pre-employment checks. This policy applies to all staff who have some responsibility for recruiting staff.

2. Overview

- 2.1 The policy applies equally to all Trust employees and external candidates who are applying for employment with the Trust in a substantive, fixed term or secondment basis and those wishing to work on the Temporary Staffing Bank.
- 2.2 The policy does not apply to agency workers or other contractors except in so far as appropriate pre-employment checks must be undertaken by the employers of agency workers and contractors providing services to the Trust.
- 2.3 All Executive Director appointments are subject to the prior agreement of the Remuneration Committee and will be subject to a separate process based on national standards.
- 2.4 All substantive consultant appointments will be subject to formal Appointments Advisory Committee in line with national standards.
- 2.5 All locum consultant appointments must be made in accordance with the NHS Code of Practice for the Appointment and Employment of HCHS Locum Doctors.
- 2.6 All Specialty Doctor appointments must be made in accordance with the NHS code of practice and in line with national standards
- 2.7 Where national NHS standards exist, they will take precedence over this policy.

3 Definitions

- 3.1 **Job description** – is used to outline the tasks and responsibilities of the role. All recruitment and selection decisions will be made using job descriptions and person specifications based on objective job related criteria.
- 3.2 **Person specification** – outlines the skills, knowledge and experience needed for the role.
- 3.3 **Pre-employment checks** – pre-employment checks are either required by Law or considered mandatory in line with the requirements of the NHS Employment Check standards to confirm an individual's suitability for appointment to a post in the Trust.
- 3.4 **Probationary Period** – a period of time to allow employees to settle into the organisation, to learn the new job and to receive any required training, normally six months.
- 3.5 **Recruitment & Retention Premia (RRP)** - is an addition to the pay of an individual post or specific group of posts where market pressures would otherwise prevent the employer from being able to recruit and retain staff in sufficient numbers, at the normal salary for that job.
- 3.6 **Disclosure and Barring Scheme (DBS) – formally known as Criminal Records Bureau (CRB)** – is an Executive Agency of the Home Office, provides wider access to criminal record information through a checking service. This service enables organisations in the public,

private and voluntary sectors to make safer recruitment decisions by identifying candidates who may be unsuitable for certain work, especially that involve children or vulnerable adults.

- 3.7 **Corporate Induction** – a process through which new staff are integrated into the Trust, learning about its corporate culture, policies and procedures
- 3.8 **Medical Induction for all Medical staff** – a process through which all new medical staff are integrated into the Trust and receive the necessary training for their role.
- 3.9 **On boarding** – the term used to describe the process of bringing a new staff member on board, once the candidate has been successfully appointed. This can include regular communication during the recruitment process, arranging welcome meetings and providing new staff with the necessary equipment in order for them to do their role.
- 3.10 **Find a Job** – a Government website, where individuals can undertake a job search to seek employment.

4. Duties

4.1 Trust Board

- 4.1.2 The Board has responsibility to oversee this policy and ensure that appropriate processes and actions are in place to ensure employees are treated in a fair and consistent manner.

4.1.3 Directors/COO/Assistant COO

Directors/COO/Assistant COO are responsible for ensuring that recruiting managers comply with Trust policies and procedures in relation to recruitment and that relevant training is undertaken.

4.1.4 Workforce Directorate

It is the function of the Workforce Directorate to ensure that robust recruitment processes are in place and that managers comply with this policy, resulting in a workforce that has the capacity, skills, diversity and flexibility to meet the demands of the services we provide.

4.1.5 Recruitment and Medical Recruitment Teams

The Recruitment and Medical Recruitment teams are responsible for:

- Providing an efficient and effective administrative service for recruitment activity
- Undertaking all relevant pre-employment and employment checks in line with Trust standards, principles and protocols.
- Providing training, guidance and support for recruiting managers
- Liaising as appropriate with candidates for posts
- Maintaining records of recruitment and selection activity
- Supporting the promotion of the Trust as an employer of choice

4.1.6 Recruiting Managers

Recruiting managers are accountable for ensuring that they attend relevant training and comply with Trust policies and procedures when recruiting staff to the Trust. This includes:

- Reviewing the skill mix within a team so that the required workforce is in place to deliver safe and effective services
- Seeking to introduce innovative practice to ensure efficient, effective and safe recruitment and selection
- Ensuring that records are maintained and when appropriate, destroyed in accordance with Trust policies and legislation
- Liaising with candidates for posts
- Ensuring successful candidates are supported through the on boarding and induction process

- In implementing this policy, Recruiting managers must ensure that all staff are treated fairly and within the provisions and spirit of the Trust's Equal Opportunities Policy. Special attention should be paid to ensuring this policy is understood when using it for staff new to the NHS or Trust, by staff whose literacy or use of English is weak or for persons with little experience of working life.
- Failure to adhere to this policy may result in disciplinary action in line with the relevant Trust policy.

4.1.7 **Successful candidates**

It is the responsibility of successful candidates to provide accurate and honest information during the recruitment process and for providing information as requested in a timely manner.

4.1.8 **Professional groups**

Any individual who is required to be registered with a professional body in order to practice must ensure that they possess valid professional registration and can provide evidence of this during the recruitment process. (Refer to HR04 Verification of Professional Registration for further details).

4.1.9 **Occupational Health**

Occupational Health are responsible for:

- Undertaking a pre-employment health assessment of the successful candidate's health to ensure that they are fit to undertake the post for which they have been offered
- Advising managers and the Workforce team on any potential adaptations or reasonable adjustments required to roles or workplaces in order to be able to comply with the Equalities Act 2010
- Ensuring the implementation of any health screening that may be required in compliance with legislation to ensure the health and safety of the individual at work

5 Establishing a vacancy

5.1 In order to establish a vacancy, the recruiting manager must review the need for the position and decide on the necessity to fill it by determining whether:

- there is a need to have the work done;
- the work can be done more efficiently in another way, eliminating the need for the post;
- the duties can be completed by re-organising current workload amongst the existing workforce;
- the role can be adapted as part of a skill mix review;
- there are sufficient funds in the department budget to fund the proposed post.

5.2 Once the need is established, the appropriate authorisation to appoint to the vacancy must be obtained using the Trac recruitment system before an appointment is made.

6 Banding the Post

6.1 All new posts covered by Agenda for Change ("AFC") and any existing AFC posts that are substantially changed must be banded in line with HR60 Agenda for Change Job Evaluation before authorisation to appoint can be sought. If there are exceptional circumstances and the post is required to be urgently advertised pending confirmation of AFC banding, the role will need to be assessed by a member of the Workforce team prior to advertising. If this is not possible, the Recruiting Manager will need to complete and gain authorisation via a 'Proposal for non-compliance with Agenda for Change Conditions' (Appendix 2).

- 6.2 Posts that have been previously banded through the Agenda for Change Job Evaluation process and have not substantially changed, do not need to be re-banded.

7 Job description and Person Specification

- 7.1 A job description must be drawn up for each post, setting out the principal duties and responsibilities of the job.
- 7.2 The job description must be supplemented by a person specification to be used to assess the suitability of candidates for the vacant post. The person specification states the qualifications, knowledge, skills and experience needed to fulfil the role. It should be specific, related to the job, objective and justifiable and should not be unnecessarily restrictive. When drawing up the job description and person specification, these must comply with the principles of equality, diversity and inclusion.

8 Attracting Candidates

- 8.1 Before any post is advertised, consideration must be given to any Trust employee who has been displaced in accordance with HR38 Management of Organisational Change or is identified at risk in accordance with Trust Policy HR53 Alternative Employment. A list of these individuals is held on the Alternative Employment Register, managed by the Workforce Directorate.
- 8.2 Posts may not be ring-fenced to a particular department or individual unless exceptional circumstances prevail. If Line Managers wish to recruit via this means, authorisation will need to be gained via a 'Proposal for non-compliance with Agenda for Change Conditions form (Appendix 2).
- 8.3 If no suitable candidates are available from the Trust's Alternative Register, then the vacancy will be advertised on the Trust's recruitment website, Trac and NHS Jobs, unless exceptional circumstances prevail (please refer to Proposal for non-compliance with Agenda for Change Conditions form (Appendix 2)).
- 8.4 The most appropriate method of advertising the vacancy will be considered on a post by post basis. In addition to the Trust's job website, Trac and NHS Jobs, advertising methods may include professional journals, local newspapers, Job Centres, Find a Job (Government website) and, exceptionally, recruitment agencies.
- 8.5 Authorisation from the Director will be required before advertising in any paid media or placing a post with a recruitment agency for non-medical positions. In respect of Medical Recruitment, authorisation should be from ACOO, CGMD, Business / Centre Manager and finance link for the Care Group.
- 8.6 In accordance with Trust Policy Managing conflicts of interest in the NHS, management must not solicit an appointment with the Trust for any person or recommend any person for such appointment (this does not preclude them from acting as a referee for such an appointment or promoting job adverts through reasonable routes (i.e. social media)).
- 8.7 All applicants are required to complete the standard application form either on Trac or NHS Jobs or in hard copy using the Trust's standard application form. A Curriculum Vitae may be submitted but only in conjunction with the standard application form.
- 8.8 Any international recruitment campaign will be co-ordinated by the Recruitment or Medical Recruitment Teams.

- 8.9 All internal and external recruitment advertisements will carry the '*Disability Confident Scheme Symbol*'. All externally advertised jobs on Trac / NHS Jobs are automatically sent to the local Job Centre.

9 Selection Process

9.1 Shortlisting

- 9.1.1 All applicants will be assessed against the criteria identified in the person specification and a short list of the most suitable candidates will be invited to interview. Short listing must be undertaken via Trac using a scoring system to ensure a robust and auditable selection process.
- 9.1.2 Where a vacancy results in a very high level of response, the shortlist may be compiled from a random selection of applicants. Managers should refer to the Recruitment Team for advice on the use of random selection.
- 9.1.3 Under the Trust's commitment to the Disability Confident scheme, any applicant who identifies themselves as having a disability and who meets the essential criteria for the post must be selected for interview.
- 9.1.4 Under no circumstances should the recruiting manager be involved in the selection process for a partner or relative. If a relation or partner of either the recruiting manager or a member of the interviewing panel applies for a position within the Trust, another panel member must be appointed and the initial member must remove themselves from the recruitment process.

10. Interviews and Other Assessments

- 10.1.1 All appointments, including temporary (bank staff) and fixed term appointments, must be made through a recruitment panel of at least two interviewers. Wherever possible, candidates should undergo a Values Based interview (VBI); in recognising the current level of trained interviewers, focus should be placed on patient facing and management positions include a values based assessment. It is the aspiration that where possible a values based interview is conducted by two values trained interviewers. However, where two values based interviewers cannot be procured, a confident and competent values based interviewer can also interview alone with a non-values trained interviewer. The nature of the values assessment allows any role to interview any candidate at any level. The values based interviewers are not assessing technical capability; this is the responsibility of the recruiting manager/department manager. For more information about the values based interview process please see the values based interview procedure available at: <http://nww.sath.nhs.uk/hr/recruitment/VBAInterviewing.asp>.
- 10.1.2 The senior member of the panel should be more senior than the vacant post.
- 10.1.3 Appointments to senior posts may include an assessment centre. Other methods of assessment may be used for all other posts as appropriate for the role.
- 10.1.4 Prior to interview and other assessment, any special arrangements must be made to support any disabled applicants (e.g. sign language interpreter, office with easy access etc.). Managers will take reasonable steps to meet such requests.
- 10.1.5 Applicants will not be precluded from employment on the grounds that special arrangements may be required because of their disability to enable them to fulfil their role.

- 10.1.6 If an illness or disability is declared at or before interview, the recruiting manager will discuss it with the applicant, only insofar as it is relevant to assessing any implications relating to their suitability for the position.
- 10.1.7 Managers will give full consideration to making reasonable adjustments to the job or to the working environment during the recruitment process.
- 10.1.8 In all circumstances, appointments will be made based on the most suitable individual for the post.

11 Pre-employment checks

- 11.1 The Recruitment and Medical Recruitment teams will ensure that appropriate checks are undertaken on the selected candidate **before** they may commence in post. Checks must include:
- proof of identity;
 - proof of their right to live and work in the UK;
 - proof of professional registration and licence to practice if required in accordance with Trust policy Verification of Professional Registration;
 - evidence of qualifications required for the post;
 - confirmation of employment history and suitability for the post from referees to cover a 3 year period, including one taken from the candidate's current employer (for those in employment);
 - confirmation of fitness to fulfil the requirements of the post from the Trust's Occupational Health advisors (please refer to section 11.2 and 11.3 for further information)
 - Disclosure and Barring Scheme check (if applicable for role) in accordance with Trust policy CRB (DBS) Checks
 - HPAN Alerts database
 - Approval of any regulator undertakings, conditions or warnings by Care Group Medical Director

Only original documentation is acceptable or verification of live registration record on regulator's website.

- 11.2 During the recruitment process, all applicants will be asked about their health and recent sickness absence record for the purposes of ensuring that contractual obligations will be fulfilled. In addition, all applicants offered employment are required to complete a Work Based Health Assessment which should be returned confidentially by the applicant to the Recruiting Manager or to Occupational Health Department as defined by criteria on the Assessment Form. Occupational Health will advise on the individual's fitness for the job and whether adjustments will be necessary.
- 11.3 Where information is disclosed to Occupational Health that may impact upon an individual's ability to undertake any aspects of their role, they may discuss this information further with the employee's manager and a further meeting should be arranged by the manager with the employee to discuss the outcome of the Occupational Health report.
- 11.4 When a person with a disability is appointed into a post where adaptation is required, advice on the scope of the adaption should be sought from Occupational Health. Managers should take reasonable steps to consider the nature of the adaptations and where appropriate, seek advice from Access to Work or other external agencies as required, for example Remploy. Managers should seek guidance from the Human Resources Team.

- 11.5. These standards apply to permanent staff, staff on fixed-term contracts and temporary workers (bank staff). In addition the standards apply to volunteers, students, trainees, contractors and agency workers and the Trust must receive written confirmation of compliance from the recruiting organisation.
- 11.6 Evidence of all checks must be securely stored on personal files (either electronically or hard copy), prior to the individuals' commencement in employment. All checks carried out (as detailed in 11.1 above) must be kept on the individual's personal file in accordance with the Trust's Maintaining Personal File Policy.
- 11.7 Any offer of appointment will be made subject to these checks being undertaken to the satisfaction of the Trust. No candidate may commence in post until the checks have been completed. Where risk assessments are undertaken, these will need to be approved by the Workforce Director or Nursing Director BEFORE a candidate commences in post in accordance with Trust policy CRB (DBS) Checks.
- 11.8 Where a candidate commences employment before a satisfactory DBS check has been received and the DBS check is then found to be unacceptable to the Trust, a disciplinary hearing will be convened in accordance with the Trust's Disciplinary Procedure and the individual's employment may be terminated. In such circumstances, managers must liaise with a member of the HR advisory team.
- 11.9 If any employment checks received are not satisfactory to the Trust, an offer of employment or offer to join the Temporary Staffing Bank may be withdrawn by the Recruiting Manager following discussion with a member of the Recruitment or HR advisory team.
- 11.10 Medical staff allocated to the Trust on HEE training rotations are subject to the same pre-employment checks as for permanent/temporary medical staff.

12 Offers of employment

- 12.1 Any offer of employment must be made subject to pre-employment checks being received which are satisfactory to the Trust.
- 12.2 All applicants who were unsuccessful following interview should be contacted via the agreed methods of contact as discussed at interview as soon as possible to inform them of the panel's decision. The senior member of the interview panel should be prepared to provide feedback to all unsuccessful applicants. In respect of Medical appointments, the Care Group Medical Director or named consultant will provide feedback to unsuccessful candidates.

13 Recruitment records

- 13.1 The application form, CV (if applicable), job description, person specification, and correspondence relating to the successful candidate should be retained in the individual's personal file, together with copies of all pre-employment checks, in accordance with the Trust's Maintaining Personal File Policy.
- 13.2 All documentation for unsuccessful candidates at interview stage, must be retained for a period of 12 months by the Recruiting Manager to ensure that a record of the process exists in the event of a complaint or claim of unfair treatment by an applicant. All unsuccessful candidates at the shortlisting stage will be retained on Trac for a period of 400 days after the application has been submitted. If the application has been submitted via NHS Jobs, this will be retained for a period of 13 months on the NHS Jobs system.

- 13.3 The retention and disposal of recruitment records will be undertaken in accordance with the Trust's Maintaining Personal File Policy.
- 13.4 The General Data Protection Regulation (GDPR), together with a new Data Protection Act 2018, will replace all pre-existing provisions under the Data Protection Act 1998.
- 13.5 The Trust acts as a Data Controller and must adhere to GDPR and the Data Protection Act 2018. This will impact on how employers process, manage and store personal data.

14 Confidentiality

- 14.1 The confidentiality of personal and sensitive information relating to candidates must be maintained at all times throughout the recruitment process and after the process has been completed. All individuals involved in the process will be responsible for maintaining confidentiality.
- 14.2 A breach of confidentiality by an employee may result in action being taken in line with the Trust's Disciplinary Procedure.

15 Agency Staff

- 15.1 Total Workforce Solutions (formerly known as Buying Solutions) have established national and regional framework agreements for the supply of temporary staff. These agreements cover:-
- Allied Health Professionals and Health Science Services
 - Ancillary Staff
 - Medical and dental locums
 - Nursing Staff
 - Professional and Administration Services
- 15.2 Managers must, wherever possible, ensure that agency staff are sourced via an agency operating under the Total Workforce Solutions agreement. Further information on participating agencies is available from the Temporary Staffing Department.
- 15.3 Where managers are considering approaching agencies other than those covered by Total Workforce Solutions, advice must first be sought from the Temporary Staffing Department. In such instances, the Temporary Staffing Department should obtain a completed recruitment checklist from the agency used (see Appendices 1a/1b/1c).
- 15.4 Where agency staff are appointed into temporary posts, written confirmation must be obtained from the agency that appropriate pre-employment checks have been undertaken before a selected candidate may commence in post.
- 15.5 The Procurement Department will request an annual Total Workforce Solutions audit report to provide assurance that all appropriate checks are carried out by the agencies used.
- 15.6 Where an appointment is made to a substantive post via an agency, it is the Recruiting Manager's responsibility to inform the Temporary Staffing Department to verify if the Trust will be liable for any notice periods or introductory fees. The Recruiting Manager will also need to inform the Recruitment Department for non-medical recruitment or the Medical Recruitment Team in relation to medical recruitment in order for all relevant pre-employment checks to be undertaken. Authorisation to recruit to the post will be required prior to an offer being made.

16 Training Needs

- 16.1 There is mandatory training associated with this policy, which all shortlisters and interviewers must undertake to be able to undertake any recruitment activity . The training will be available via the Trust’s intranet. . If there are any queries about its operation, please contact the Recruitment (for non-medical recruitment) or Medical Recruitment Teams.

17 Review Process

- 17.1 This policy will be reviewed in 5 years or before if there are local/national or legislative changes.
- 17.2 In order that this document remains current, any of the appendices to the policy can be amended and approved during the lifetime of the document without the document having to return to the ratifying committee.

18 Equality Impact Assessment (EQIA)

- 18.1 The policy has a positive impact for disabled people in line with the Positive About Disabled People requirements.

19. Standards of Business Conduct

The Trust follows good NHS Business practice as outlined in the Managing Conflicts of Interest in the NHS and has robust controls in place to prevent bribery. Due consideration has been given to the Bribery Act 2010 in the review of this policy document and no specific risks were identified.

20. Process for monitoring compliance

Aspect of compliance or effectiveness being monitored	Monitoring method	Responsibility for monitoring (job title)	Frequency of monitoring	Group or Committee that will review the findings and monitor completion of any resulting action plan	
Duties	<i>To be addressed through the monitoring below</i>				
Types of check required	Capture and analysis of personal files for all staff including fixed term/temporary staff	Counter Consultant	Fraud	Annual	Audit Committee and Workforce Committee
Checking procedures		Counter Consultant	Fraud	Annual	Audit Committee and Workforce Committee
Process for following up those who fail to satisfy		Counter Consultant	Fraud	Annual	

the checking arrangements				Audit and Workforce Committee
Process for monitoring receiving assurance that checks are being carried out by external agencies	Review of Total Workforce Solutions Audit Report	Temporary Staffing Department	6 monthly	Workforce Committee
Process for monitoring of appropriate short listing and quality of interview notes	Review of 1 recruitment episode	Recruitment Manager	Monthly	Information recorded at a local level – any findings to be discussed with Recruitment lead for vacancy
Process for recording and monitoring that all recruiting managers have been trained and retrained as necessary	Recruitment / Medical Recruitment Teams to check if shortlisters / interviewers have undertaken Recruitment Training when details have been added onto Trac for vacancy approval and at shortlisting and interview stage – to be checked against ESR/OLM	Recruitment and Medical Recruitment Managers	Each recruitment episode	Information recorded at local level and reported to at Recruitment and Retention Committee to monitor compliance every 6 months

20.1 Where action is required recommendations and action plans will be developed from the analysis and will be part of the reporting mechanism.

21. References

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

NHS Employers Checks

http://intranet.sath.nhs.uk/Library_Intranet/documents/HR/Workforce/Privacy%20Notice%20for%20Employees%20V2.pdf

Employee Privacy Notice

Appendix 1a Agency Worker Placement Checklist for the supply of medical locums

Authority name (location)		Authority reference no. (if provided)	
Reason for Booking (if provided)			
Grade	Associate Specialist	Specialty	Obstetrics & Gynaecology
		EPP?	Yes / No
Placement Date From	DD/MM/YYYY	Placement Date To	DD/MM/YYYY
Proposed working Pattern	Shift times/on call rota details etc.	Total number of hours booked	000
		Non-residential on call	Yes / No

Hourly Pay Rate	£00.00	Total hourly charge excl. VAT	£00.00
Hourly Agency fee	£00.00	VAT (as appropriate)	£00.00
Travel and/or disbursements	As agreed with the Authority		
Other	As agreed with the Authority		

Agency Worker's full name	Dr John Doe Smith	Full CV attached	Yes / No
Previously worked at the Authority as above?	Yes / No	Available for full placement period?	Yes / No* (*see below)
Verified ID	United Kingdom Passport	Attached	Yes / No
Nationality and Immigration status (Right to Work in UK)	Not applicable (as above)	Attached	Yes / No

GMC or GDC registration	Full	Enhanced DBS disclosure no.	000000000000
GMC or GDC number	0000000	Date of DBS Issue	DD/MM/YYYY
GMC or GDC registration last checked	DD/MM/YYYY	Alert notification?	Subject / Not subject

Certificate of Fitness for Employment issued by	Name of OH Service Provider	Date of Issue	DD/MM/YYYY
--	-----------------------------	----------------------	------------

Life support training	BLS or ALS or ATLS or APLS etc.	Date of Issue	DD/MM/YYYY
------------------------------	---------------------------------	----------------------	------------

Competent in oral and written English	Yes / No	Two references attached	Yes / No	Date of last appraisal	DD/MM/YYYY
--	----------	--------------------------------	----------	-------------------------------	------------

Other information as required by the Authority					
---	--	--	--	--	--

The above named Agency Worker has been submitted by the Supplier for consideration in the provision of the Services i) in response to a request from the Authorised Officer of the Authority; ii) has undergone all of the necessary and appropriate pre-employment screening checks as required by the NHS Conditions of Contract for the supply of medical locums to ensure their compliance prior to supply and iii) shall be charged in accordance with the Contract Price set out in Appendix 2 to the Framework Agreement (or Escalated Contract Price as agreed with the Senior Authorised Officer of the Authority).

Name		Position	
Signature		Date	DD/MM/YYYY

Appendix 1b Agency Worker Placement Checklist for the supply of AHPs and HSS staff

Authority name (location)		Authority reference no. (if provided)	000000000000		
Reason for Booking (if provided)					
AfC Job Title	Radiographer Specialist (Diagnostic Therapeutic)	AfC band	6	EPP?	Yes / No / N/A
Placement date from	DD/MM/YYYY	Placement date to	DD/MM/YYYY		
Proposed working pattern	Shift times	Total number of hours booked		000	

Hourly Pay Rate incl. any adjustments, as appropriate	£00.00	Total hourly charge excl. VAT	£00.00
Hourly Agency fee	£00.00	VAT (as appropriate)	£00.00
Travel and/or disbursements	Other As agreed with the Authority		
Accommodation required	As agreed with the Authority		

Agency Worker's full name	John Doe Smith		Full continuous employment history attached	Yes / No
Previously worked at the Authority as above?	Yes / No	Available for full placement period?	Yes / No* (*see below)	Recent photograph attached
Verified ID	United Kingdom Passport			Attached
Nationality and Immigration status (Right to Work in UK)	Not applicable (as above)			Attached

Relevant Professional and Regularly Body registration (as appropriate)	Full
Relevant Professional and Regularly Body registration number (as appropriate)	0000000
Relevant Professional and Regularly Body registration last checked (as appropriate)	DD/MM/YYYY

DBS disclosure no.	000000000000	DBS disclosure type	Standard / Enhanced
DBS name of employer	Name of employer that obtained CRB disclosure	Date DBS issued	DD/MM/YYYY

Competent in oral and written English	Yes / No	Two references attached	Yes / No	Alert notification?	Subject / Not subject
--	----------	--------------------------------	----------	----------------------------	-----------------------

Other information as required by the Authority					
---	--	--	--	--	--

The above named Agency Worker has been submitted by the Supplier for consideration in the provision of the Services i) in response to a request from the Authorised Officer of the Authority; ii) has undergone all of the necessary and appropriate pre-employment screening checks as required by the NHS Conditions of Contract for the supply of temporary Allied Health Professional and associated staff and Healthcare Science Services staff to ensure their compliance prior to supply and iii) shall be charged in accordance with the Contract Price set out in Appendix 2 to the Framework Agreement or the SLA (or Escalated Contract Price as agreed with the senior Authorised Officer of the Authority).

Name		Position		
Signature		Date	DD/MM/YYYY	

Appendix 1c Agency Worker Placement Checklist for the supply of agency nurses

Authority name (location)		Authority reference no. (if provided)	000000000000		
Reason for Booking (if provided)					
Job Profile Title		Band	6	EPP?	Yes / No / N/A
Placement date from	DD/MM/YYYY	Placement date to	DD/MM/YYYY		
Proposed working pattern	Shift times		Total number of hours booked	000	

Hourly Pay Rate incl. any adjustments, as appropriate	£00.00	Total hourly charge excl. VAT	£00.00		
Hourly Agency fee	£00.00	VAT (as appropriate)	£00.00		
Travel and/or Other disbursements	As agreed with the Authority				
Accommodation required	As agreed with the Authority				

Agency Worker's full name	John Doe Smith				
Previously worked at the Authority as above?	Yes / No	Available for full placement period?	Yes / No* (*see below)	Recent photograph attached	Yes / No
Verified ID	United Kingdom Passport			Attached	Yes / No
Nationality and Immigration status (Right to Work in UK)	Not applicable (as above)			Attached	Yes / No

Relevant Professional and Regularly Body registration (as appropriate)	GCD / HPC / NMC				
Relevant Professional and Regularly Body registration number (as appropriate)	0000000				
Relevant Professional and Regularly Body registration last checked (as appropriate)	DD/MM/YYYY				

Enhanced DBS disclosure no.	000000000000	Date DBS issued	DD/MM/YYYY		
Enhanced DBS disclosure name of employer	Name of employer that obtained enhanced CRB disclosure	Regulated Activities status checked date	DD/MM/YYYY		

Certificate of Fitness for Employment issued by	Name of OH Service Provider		Date issued	DD/MM/YYYY	
---	-----------------------------	--	-------------	------------	--

Competent in oral and written English	Yes / No	Two references attached	Yes / No	Alert notification?	Subject / Not subject
---------------------------------------	----------	-------------------------	----------	---------------------	-----------------------

Other information as required by the Authority					
--	--	--	--	--	--

The above named Agency Worker has been submitted by the Supplier for consideration in the provision of the Services i) in response to a request from the Authorised Officer of the Authority; ii) has undergone all of the necessary and appropriate pre-employment screening checks as required by the NHS Conditions of Contract for the supply of agency workers to ensure their compliance prior to supply and iii) shall be charged in accordance with the Contract Price set out in Appendix 2 to the Framework Agreement (or Escalated Contract Price as agreed with the Senior Authorised Officer of the Authority).

Name		Position			
Signature		Date	DD/MM/YYYY		

Appendix 2

PROPOSAL FOR NON-COMPLIANCE WITH AGENDA FOR CHANGE CONDITIONS

Name of Manager	Job Title
Department	
Name of Employee (if known)	Job Title

What is being proposed?

- Appoint without recruitment process, including advertising post
- Ringfence recruitment within department
- Recruit by Expression of Interest
- Appoint more than the approved WTE
- Appoint to higher band than advertised
- Appoint to pay point higher than A4C allows
- Increase pay within Band
- Appoint to unbanded post or post awaiting A4C banding where indicative band has not been agreed by a member of the Workforce team
- Grant Temporary Movement (Acting Up) payment outside A4C or beyond 6 months
- Pay responsibility payments or additional payments not covered by A4C
- Reband post without job description going to A4C panel

Please explain why this is being proposed

Background leading to proposal

Details of the proposal, including current salary of individual (if applicable)

What has been done to attempt to working with A4C terms and conditions and Trust policy

Is the proposed arrangement temporary or permanent?

Temporary/Permanent

(If Temporary, please give timescales and reasons and explain what will happen at the end of the arrangement)

Has funding been confirmed?

Yes/No

(If No, please explain how this will be addressed)

TO BE COMPLETED BY WORKFORCE BUSINESS PARTNER

Proposal agreed

Proposal not agreed

Rationale

Signed

Date

TO BE COMPLETED BY WORKFORCE DIRECTOR OR A NOMINATED DEPUTY

Approved

Not approved

Rationale

Signed

Date

TO BE COMPLETED BY FINANCE DIRECTOR

Approved

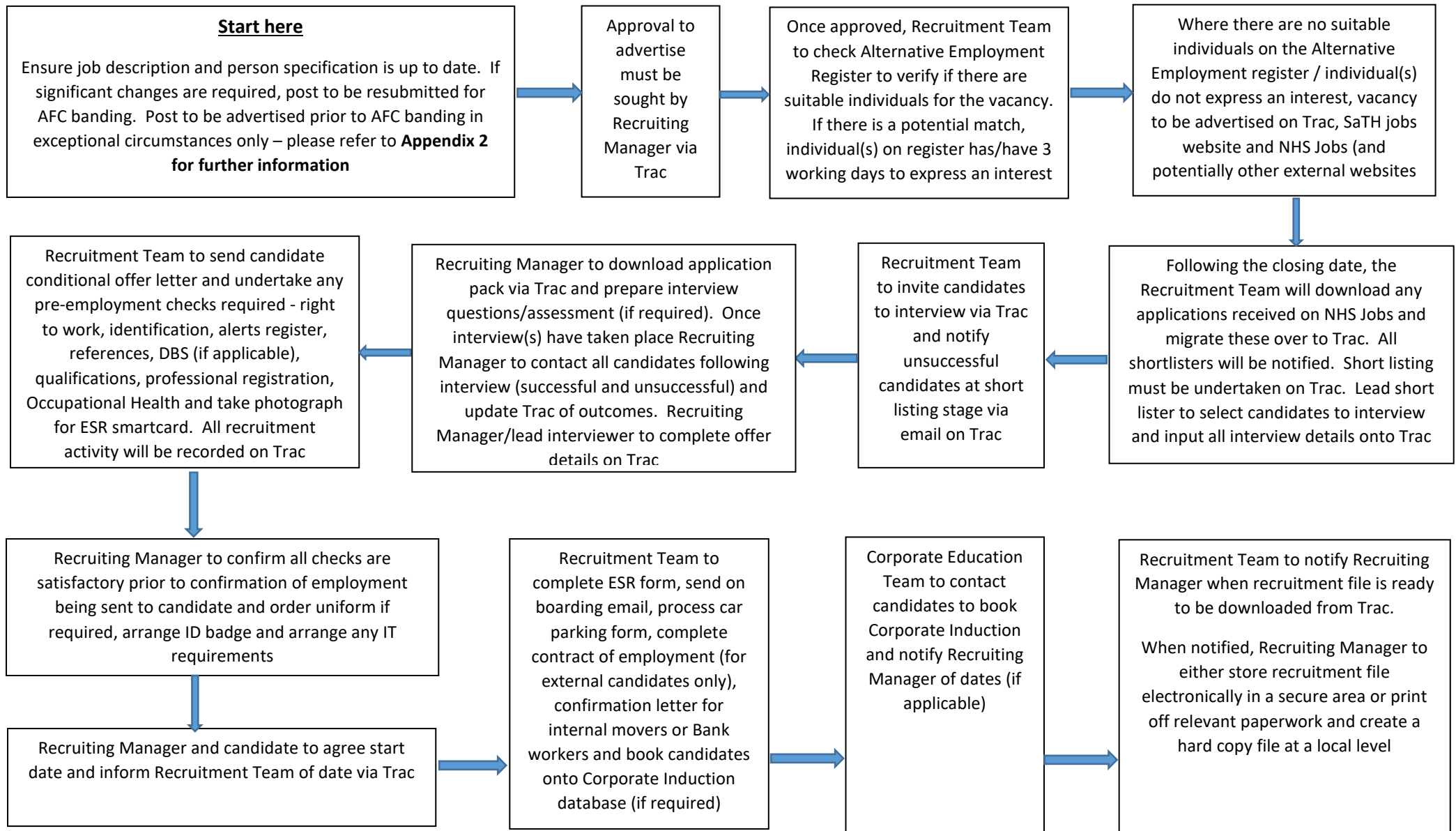
Not approved

Rationale

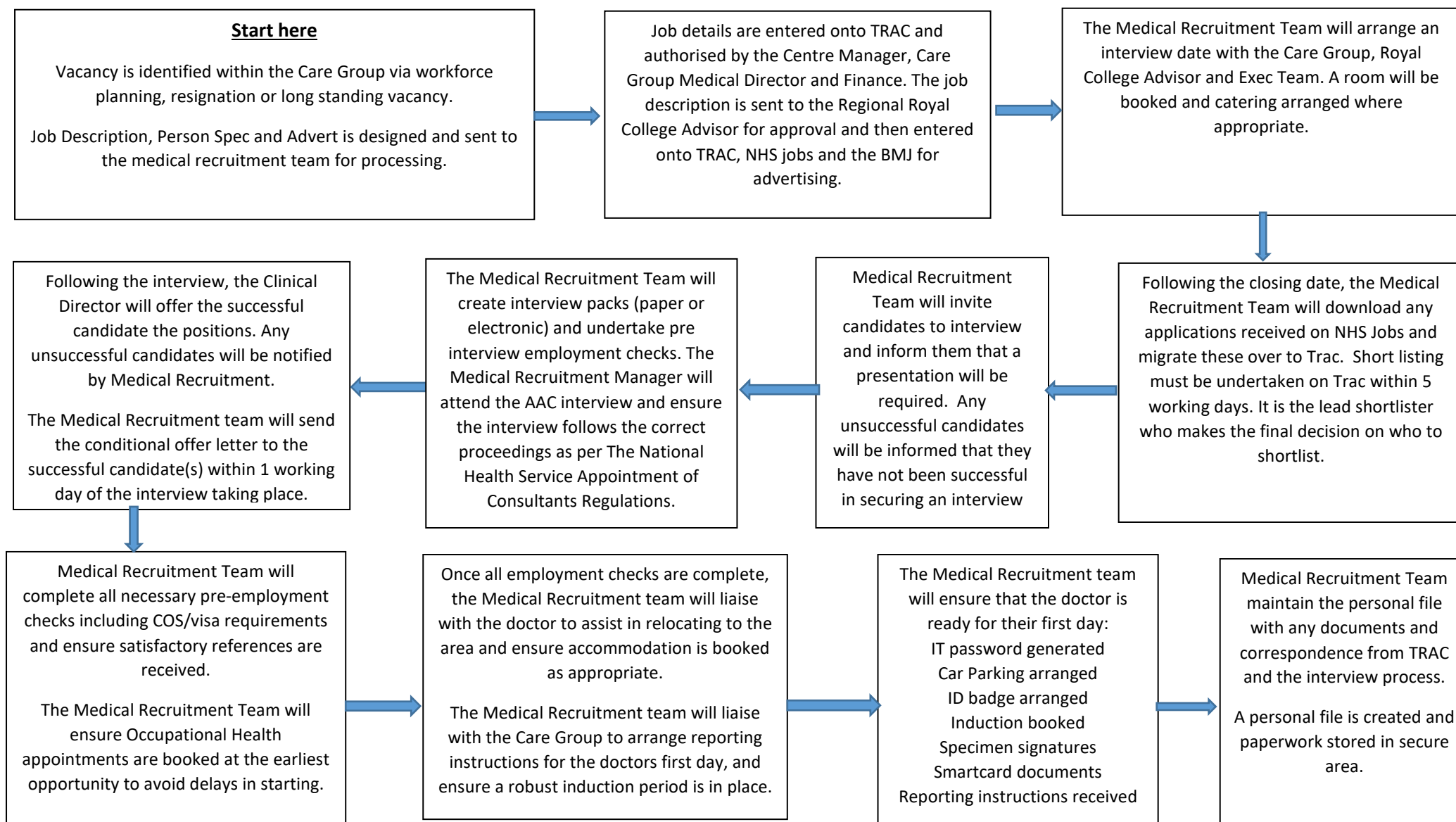
Signed

Date

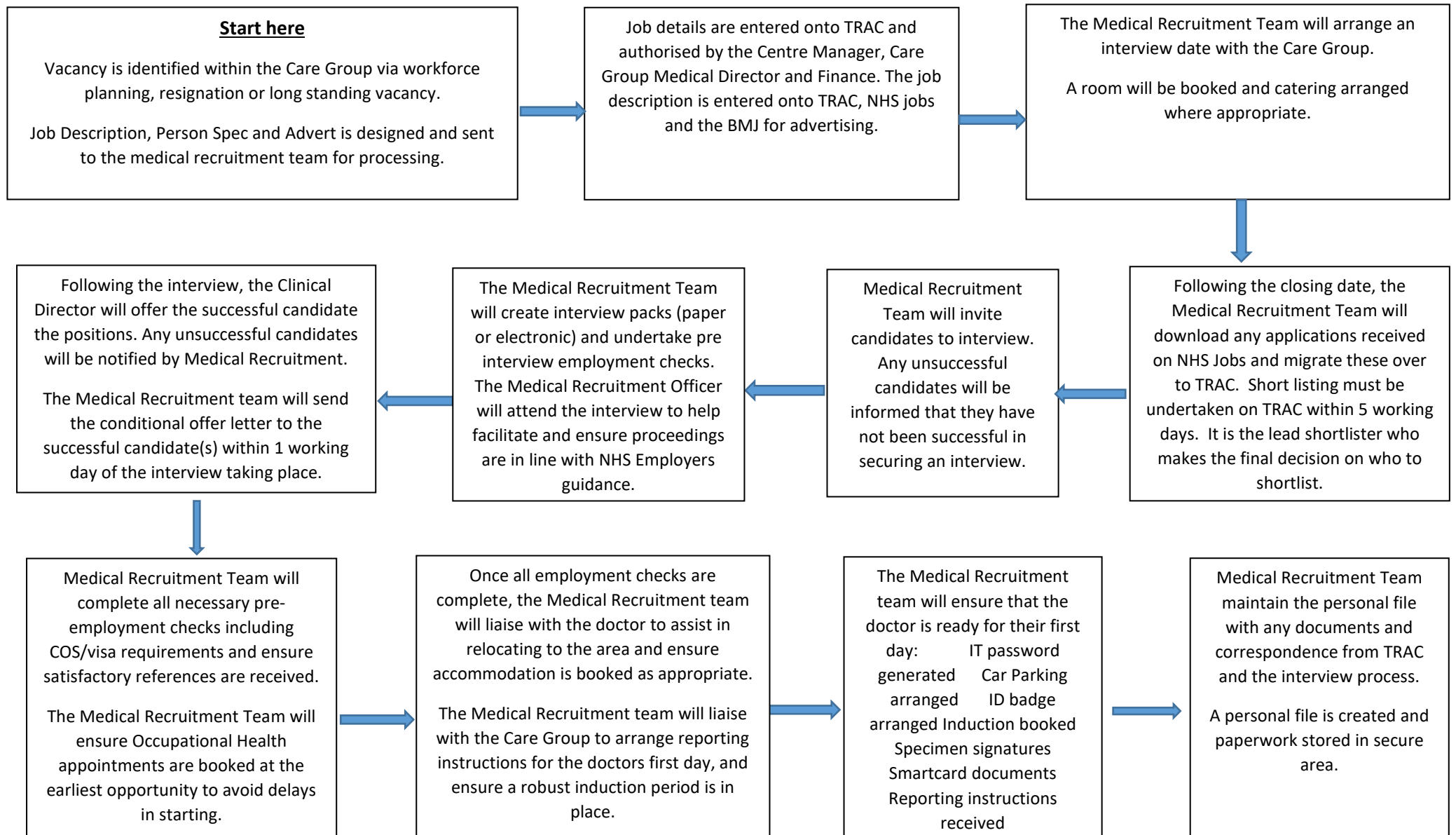
Appendix 3 Recruiting Managers process for recruiting non-medical staff



Appendix 4 Recruiting Managers process for recruiting Medical Staff - Consultants



Appendix 5 Recruiting Managers process for recruiting Medical Staff Non-Consultants



Appendix 6 Recruiting Managers process for recruiting Medical Staff – HEE Doctors in Training

