

**TRUST-WIDE NON-CLINICAL POLICY DOCUMENT**

# RECRUITMENT AND SELECTION

Policy Number:	HR21
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Lead Author(s):	Resourcing Manager

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2015 – Version 1

Quality, recovery and wellbeing at the heart of everything we do

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**RECRUITMENT AND SELECTION**

**Further information about this document:**

Document name	<b>RECRUITMENT AND SELECTION (HR21)</b>
Document summary	<b>This policy outlines the process for managers to follow when recruiting and selecting staff</b>
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To be read in conjunction with	<b>Disclosure and Barring Service Policy Equality &amp; Human Rights Policy Organisational Change Policy Professional Registration Policy NHS Safer Employment Standards</b>
<b>This document can be made available in a range of alternative formats including various languages, large print and braille etc</b>	
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**Version Control:**

Version History:		
Final Version	Presented to the Executive Committee for Approval – Trust Secretary	Version 1

## SUPPORTING STATEMENTS

this document should be read in conjunction with the following statements:

### SAFEGUARDING IS EVERYBODY'S BUSINESS

All Mersey Care NHS Foundation Trust employees have a statutory duty to safeguard and promote the welfare of children and vulnerable adults, including:

- being alert to the possibility of child/vulnerable adult abuse and neglect through their observation of abuse, or by professional judgement made as a result of information gathered about the child/vulnerable adult;
- knowing how to deal with a disclosure or allegation of child/adult abuse;
- undertaking training as appropriate for their role and keeping themselves updated;
- being aware of and following the local policies and procedures they need to follow if they have a child/vulnerable adult concern;
- ensuring appropriate advice and support is accessed either from managers, *Safeguarding Ambassadors* or the trust's safeguarding team;
- participating in multi-agency working to safeguard the child or vulnerable adult (if appropriate to your role);
- ensuring contemporaneous records are kept at all times and record keeping is in strict adherence to Mersey Care NHS Foundation Trust policy and procedures and professional guidelines. Roles, responsibilities and accountabilities, will differ depending on the post you hold within the organisation;
- ensuring that all staff and their managers discuss and record any safeguarding issues that arise at each supervision session

### EQUALITY AND HUMAN RIGHTS

Mersey Care NHS Foundation Trust recognises that some sections of society experience prejudice and discrimination. The Equality Act 2010 specifically recognises the *protected characteristics* of age, disability, gender, race, religion or belief, sexual orientation and transgender. The Equality Act also requires regard to socio-economic factors including pregnancy /maternity and marriage/civil partnership.

The trust is committed to equality of opportunity and anti-discriminatory practice both in the provision of services and in our role as a major employer. The trust believes that all people have the right to be treated with dignity and respect and is committed to the elimination of unfair and unlawful discriminatory practices.

Mersey Care NHS Foundation Trust also is aware of its legal duties under the Human Rights Act 1998. Section 6 of the Human Rights Act requires all public authorities to uphold and promote Human Rights in everything they do. It is unlawful for a public authority to perform any act which contravenes the Human Rights Act. Mersey Care NHS Foundation Trust is committed to carrying out its functions and service delivery in line the with a Human Rights based approach and the FREDA principles of **F**airness, **R**espect, **E**quality **D**ignity, and **A**utonomy

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## 1 PURPOSE AND RATIONALE

- 1.1 **Purpose** – The Trust recognises the importance of good recruitment and selection decisions. The aim of this policy is to act as a guide/framework for all managers and staff involved in recruitment at any level and to promote and maintain high professional standards of recruitment, which contribute to the objectives of the Trust and which are fair, consistent and efficient, ensuring the Trust complies with employment legislation and best practice, and contributes to effective risk management. It should be read in conjunction with the Recruitment Guidance document which fully describes the recruitment and selection process to be followed by all managers involved in the recruitment process.
- 1.2 Information on candidates will be treated in confidence and restricted to those involved in the recruitment process in accordance with the Data Protection Act 1998.
- 1.3 The Trust will ensure managers with responsibility for Recruitment and Selection receive appropriate training in:
- recruitment and selection techniques
  - application of the recruitment and selection policy and procedure
  - equality and diversity
- 1.4 All recruitment processes will be fair and consistent

## 2 OUTCOME FOCUSED AIMS AND OBJECTIVES

- 2.1 For this Recruitment and Selection Policy and Procedure the aims and objectives are as follows.
- (a) Managers are able to recruit and select candidates in accordance with best practice guidance and legislative requirements
- (b) Managers are aware and consider legal requirements and adjustments throughout the process
- (c) Managers are able to apply effective selection techniques to select appropriate candidates.

## 3 SCOPE

- 3.1 This policy is a non clinical Trust wide policy that covers all employees and potential employees (including temporary, agency staff and Non Executive appointments) of Mersey Care NHS Foundation Trust. It applies to recruitment and selection within all disciplines and for all posts, whether advertised internally or externally, except those governed by national agreements - such as consultant medical posts that specify other arrangements (see appendix 1).

## 4. DEFINITIONS

### 4.1 Table 1

The relevant terms and their definitions (within the context of this policy document) are outlined below:

Term	Definition
The Trust	Mersey Care NHS Foundation Trust
NHS Employment Checks Standard	<p>Pre-employment checking seeks to verify that an individual meets the preconditions of the role they are applying for.</p> <p>There are six NHS Employment Check Standards that outline the type and level of checks employers must carry out before recruiting staff into NHS positions.</p>

## 5. DUTIES

- 5.1 The Trust believes that it is important to clarify the responsibilities and expectations of both Recruiting Managers and Human Resources at each stage of the recruitment and selection process. This will help to reduce ambiguity and ensure that the recruitment cycle is as short as possible.
- 5.2 **Chief Executive Responsibilities**  
The Chief Executive has delegated responsibility for ensuring compliance with “The NHS Employment Check Standards” to the Executive Director of Workforce.
- 5.3 **The Executive Director of Workforce**  
The Executive Director of Workforce has a responsibility to ensure that robust systems are in place, to ensure compliance with safer recruitment guidelines. They will also ensure that all Directors, Managers, Human Resource Staff and all other staff are fully aware of the actions contained within the “The NHS Employment Check Standards” and the Recruitment and Selection Procedure and are aware of their responsibilities.
- 5.4 **Managers**  
The recruiting manager has a duty:  
To select candidates of the right calibre, qualifications, skills, experience and values.  
To ensure that all posts are recruited in line with the safer recruitment guidelines.

To ensure that they received adequate information and guidance before participating in recruitment and selection activity and they adhere to the Policy and Procedure.

To ensure that they include a service user/carer representative at the shortlisting and interview stage.

#### 5.5 **Resourcing Team**

The Resourcing Team are responsible for:

Ensuring that regular up to date information, guidance and training is provided to recruiting managers.

Providing advice and support in relation to recruitment and selection which is compliant with employment law/best practice

Ensuring the recruitment and selection activities within the Trust are compliant with the safer recruitment guidelines and to ensure that any concerns are raised to the Resourcing Manager.

#### 5.6 **Vacancy Approval Panel**

The vacancy control panel consists of a member of HR, Finance and a staff side representative. The panel will meet every week and will agree the recruitment process that needs to be followed based on the Recruitment Principles (see appendix C)

#### 5.7 **Joint Negotiating Committee / LNC**

The JNCC and LNC will be responsible for reviewing and agreeing any locally agreed procedures e.g. Recruitment and Retention Premia.

## 6. **PROCESS / PROCEDURE**

The policy will be driven by the following guiding principles and will work in parallel with the recruitment and selection procedure.

### 6.1 **Reviewing Posts As They Become Vacant**

Managers are responsible for reviewing the need for a post when it becomes vacant, taking into account factors such as changing service needs. They should consider for example, whether the post is needed in the same format i.e. full time/part time or whether the duties could be delivered more effectively by redesigning roles. When it is decided to recruit to a post, managers should always review the job description and person specification.

Where a post has significantly changed, or the role is completely new, the post should be banded by a Trust Agenda for Change job matching or evaluation panel. This should be done and approved prior to beginning the Vacancy Authorisation Process.

### 6.2 **Equal Opportunities and Human Rights**

The Trust's Equality and Human Rights Policy seeks to develop positive practice to promote equality of opportunity in employment.

The Trust aims to attract and appoint the most suitable candidate for each of its vacancies. This means that decisions regarding short listing and appointment need to be taken without reference to a candidate's race, sex, religion, accent, age, sexual orientation, trade union activities or other variants which are irrelevant to a candidate's suitability for the post. Careful consideration must be given to any candidate with a disability in accordance with the Disability Discrimination Act 2005. This requires consideration to be given to any 'reasonable adjustment' that could be made which would allow the person to undertake the post. In cases of disability the manager must liaise with the Human Resources Department.

Mersey Care is recognised as a 'Two Ticks'  organisation. This means that we actively encourage applications from disabled individuals in accordance with the Equality Act 2010. As an organisation we are committed to employ, keep and develop the abilities of disabled staff. During the recruitment process, we are committed to making adjustments where necessary. Candidates who have declared a disability need only to meet the essential criteria to be guaranteed an interview.

Further details can be found in section 1.6.3 of the Recruitment and Selection guidance.

### 6.3 **Organisational Change and Redeployment**

In circumstances where due to re-organisation/restructuring of Trust Services, staff are deemed 'at risk' the Trust will follow guidelines as detailed in the Trusts Organisational Change Policy.

The same principles will apply where it is necessary to re-deploy an employee because of their inability to continue to perform their duties to an acceptable standard. This can be as a result of disability or sickness but employment is an ongoing option. The Trust will explore whether any suitable alternative posts are available.

Further details on the process are detailed in the Organisational Change Policy and the Recruitment Guidance Document.

### 6.4 **Recruitment – New and Replacement Posts**

All vacancies (permanent, fixed term, secondments, expressions of interest and acting up) will be advertised internally in the first instance in accordance with the Trust's Recruitment Principles (see appendix 4); except in circumstances where 2.2 are met.

The exceptions to this are as follows:  
Acting Up arrangements (3 months or less)  
External Agencies

Eligibility: Internal Advertisements

The following groups are eligible to apply for vacancies, which are advertised internally only:

Substantive employees

Temporary/fixed term employees

Current Bank staff who have been registered for at least 3 months and have worked on the Bank.

Local Authority Employees and other NHS Employees seconded to the Trust who are undertaking a role within Mersey Care NHS Foundation Trust.

Agency Staff

External Advertising – in circumstances where a suitable pool of candidates does not exist within the Trust the post will be advertised externally on NHS Jobs. An advert can be placed through appropriate media/press if required. All external advertising will be arranged through the Resourcing Team. The advert will be placed via an agency registered through the Government Procurement Service (GPS) agreement who will negotiate and pass on discounted price rates to the Trusts to ensure cost effectiveness is maximised.

## 6.5 Fixed Term Contracts

The Trust is committed to the promotion of long term security of employment, however, it recognises that the use of fixed-term contracts provide an opportunity of bringing specific skills and labour into the Trust on an as and when basis.

Fixed Term contracts of employment must only be used for genuine organisational reasons, made for a specific length of time or on completion of a task.

It is the Recruiting Managers responsibility to ensure that during the recruitment process to fill a fixed term post, the timescale of the contract is clearly marked on the Vacancy Authorisation Form and advert which is provided to the Resourcing Team.

Where a fixed term post becomes a substantive post then it must be advertised in accordance with this policy.

## 6.6 Increase in hours

No vacancy needs to be advertised where an existing substantive part-time member of staff in the same role/Band wishes to increase their substantive hours of work. As long as, in the managers judgement, this will not disadvantage other staff within the Department and they can justify that it meets the business needs of the service. This increase in hours must be done in consultation with the appropriate Finance representative.

## 6.7 Secondments

### 6.7.1 Internal Secondments

As part of the Trust's ongoing commitment to the development of its employees and its aim to promote increased flexibility and broader-based skills within its workforce, Managers may wish to consider advertising their post internally within the Trust for staff to undertake a secondment opportunity:

Secondments will be advertised in the weekly bulletin and will indicate the duration of the appointment – normally not longer than 12 months except in circumstances where funding has been identified for a longer period.

Before an employee applies for a secondment opportunity it will be necessary for them to gain agreement from their line manager to ensure that the secondment can be facilitated.

The 'Receiving' Manager will assume responsibility for the induction and overall management of the employee during the secondment.

Employees will normally be seconded on the terms and conditions of the post they are seconded into and at the end of the secondment they will have to right to return to their substantive post. If Organisational Change takes place for the employee's substantive post, the employee will be included in appropriate processes.

Following the completion of the secondment, if there is an ongoing requirement for the role either on a substantive basis or for a further secondment period, the normal recruitment/secondment processes will apply.

A record of the secondment will be recorded by the HR team.

#### **6.7.2 External Secondments**

The Trust would not normally consider requests for external secondments beyond 12 months, except in exceptional circumstances.

Before an employee applies for a secondment opportunity external to the Trust, it will be necessary for them to gain agreement from their line manager to ensure that the secondment can be facilitated.

The current manager should consider service requirements and identify how the service would benefit from the secondment e.g. personal development of the employee, skills acquired which can be of benefit to the Trust.

Where an employee is successful in gaining a secondment outside of the Trust, they will be required to produce evidence from the secondment organisation e.g. offer letter.

The employee will receive a Formal Secondment Agreement from the Trust confirming the terms and conditions of the secondment.

In the event that the external secondment is extended, the employee must contact their manager at least two months prior to the completion of the secondment to discuss whether the extension can be facilitated. In circumstances where the secondment can not be extended, the employee will

be required to return to the Trust on the date that was originally agreed prior to their secondment commencing.

During the secondment, the secondee will remain an employee of Mersey Care NHS Foundation Trust and will be required to adhere to Mersey Care Trust policies and procedures.

A record of the secondment will be recorded by the Trust's HR Team.

### **6.7.3 Secondments into the Trust**

All staff seconded into Mersey Care NHS Foundation Trust must undergo the full recruitment process including Trust and local induction.

If the Trust is in a position to extend the secondment, it may do so. The manager must consider whether or not this will disadvantage other staff within the Trust and also whether it can justify that it meets the business needs of the department.

If the manager deems the extension to disadvantage other employees, then the post must be re-advertised.

If you need clarity on this matter, please seek advice from the Resourcing Manager.

### **6.8 Recruitment and Retention Premia**

Recruitment and Retention premia are additions to the salary of a post or group of posts where the Trust would find it difficult to recruit candidates with the required skills/experience for the post. This additional payment may also apply for the retention of skilled staff.

This premia is paid in circumstances where market pressures lead to difficulty in recruiting to certain posts within the trust or where the skills required are more commonly associated with the private sector and therefore, it can be a highly competitive employment market.

If recruiting managers are finding it difficult to recruit, they should contact the Resourcing Manager who will provide appropriate advice.

In some circumstances, it may be necessary to apply Recruitment and Retention Premia to a post. A written submission must be made to the Deputy Director of Workforce, who will present it to JNCC and LNC for medics where a decision will be made as to the validity and amount of the premia.

### **6.9 Involvement/Employment of Service Users/Carers**

The Trust has made a commitment to involve Service Users/Carers, who are suitably trained in the recruitment process, in both the short listing and interviewing of all employees.

Service Users/Carers are encouraged to apply for Trust vacancies and will be required to go through a full recruitment process including Trust and local induction

#### **6.10 Confidentiality**

It is essential that all staff involved at any stage of the Recruitment and Selection Process treat information on applicants as strictly confidential.

It is the responsibility of the chair of the panel to ensure that copies of applicants' details are stored securely and confidentially whilst in their possession. At the conclusion of the selection process, the panel should ensure that all documents relating to a particular appointment are returned to the Resourcing Team to be processed in accordance with the Data Protection Act 1998. This includes returning panel packs, questions asked at interview, presentation details and notes taken for each candidate interviewed.

#### **6.11 Declaration of Close Personal Relationships**

All internal and external applicants for employment with the Trust must declare if they have a 'close personal relationship' with a person who is employed by the Trust. Panel members must also declare if they are known personally to any candidate due to be interviewed.

#### **6.12 Discrimination Legislation**

Managers must ensure that all adverts, job descriptions and person specifications provided to the Resourcing Team do not include statements which could be deemed discriminatory.

The Resourcing Team will ensure that any direct or indirect reference to discrimination is removed from all application forms and that equality and diversity information (part A of the application form) is removed from the shortlisting process.

For further information and step by step guidance through the recruitment and selection process, please refer to the Recruitment and Selection guidelines which are available as a reference document on Trust Website.

Please refer to the Policy and Procedure on Equality for further information regarding Equality, Diversity and Human Rights.

## **7 CONSULTATION**

This policy has been developed and reviewed at the Human Resources Policy Group which consists of representatives from recognised staff organisations, senior managers and HR Staff

## 8 TRAINING AND SUPPORT

Recruitment and Selection Training sessions are options sessions offered as part of the THRIVE & ILM Programmes.

Ad hoc recruitment sessions can be provided on request to services and further details should be discussed with the Resourcing Manager.

## 9 MONITORING

- a. Monitoring and Compliance will be undertaken under the direction of the Executive Director of Workforce.
- b. The results of monitoring will be reported to the Performance and Investment Committee annually
- c. Compliance with this policy will be monitored through:
  - i. On a quarterly basis an audit will be undertaken by Resourcing staff who will randomly select 10% of new starter files to ensure evidence is available to confirm that all necessary checks have been undertaken
  - ii. The submission of reports which advise on the number of recruitment processes undertaken with timescales.

## Managers Guidance

### Appendix 1 Recruitment and Selection Procedure

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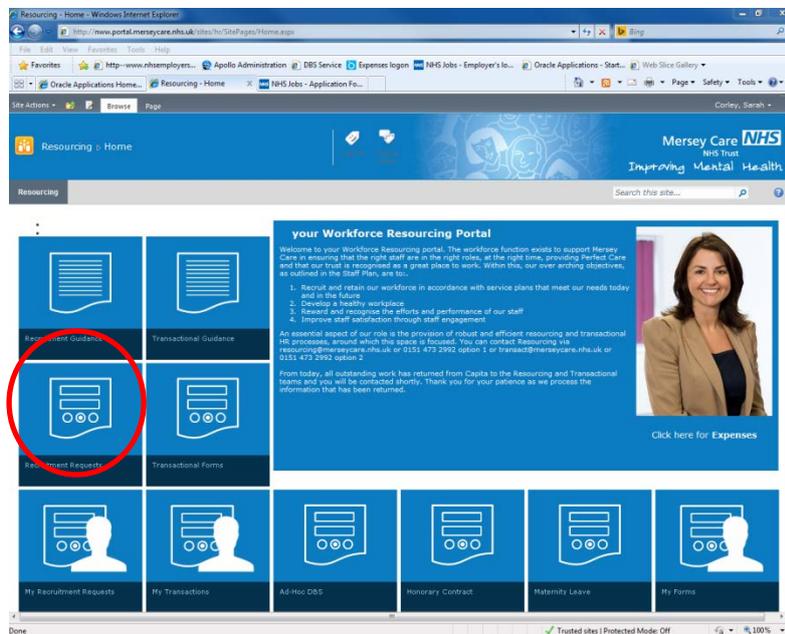
## 1. Preparing to Recruit

The initial stage of any recruitment procedure begins as a vacancy is identified or a current member of staff resigns. It is your responsibility to ensure that when this happens, you consider whether the post is needed in the same format, whether the duties could be delivered more effectively by redesigning roles or whether the post will be impacted by changing future service needs.

Where a post has significantly changed or the role is completely new, the post should be banded by a Trust Agenda for Change job matching or evaluation panel. You should discuss such changes with your HR Advisor/Business Partner who will advise you on the process. This should be done and approved prior to beginning the Vacancy Authorisation Process.

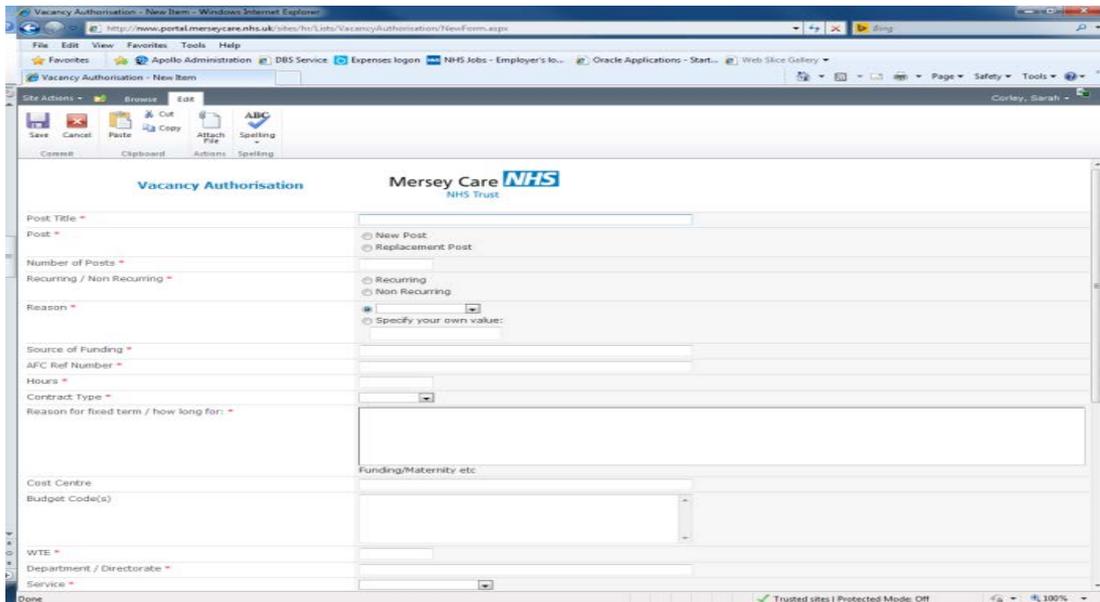
### 1.1 Submission of Vacancy Authorisation Forms

To submit a Vacancy Authorisation Form (VAF) click on Internet explorer > Workforce > Recruitment Requests



1.1.1 You will then need to complete the VAF via SharePoint outlining the job, the source of funding and either attach a job description or detail the Agenda for Change Reference Number for the Job Description.

**N.B. Please remember - this must be an Agenda for Change approved Job Description with no amendments or changes that have already been approved**

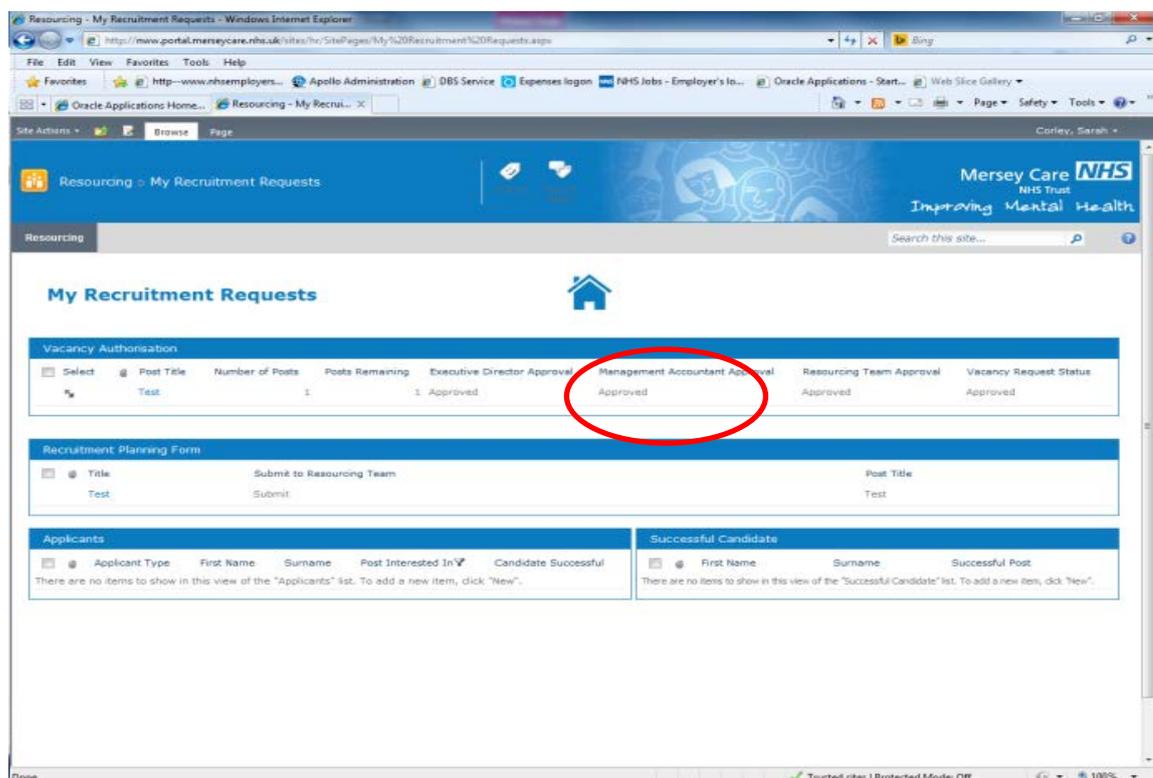


Once all the details have been completed and all the mandatory fields completed, press save at the bottom, and the VAF has been submitted to the Resourcing team

1.1.2 First of all, the VAF will be sent via email to the Executive Director you selected on the VAF for approval. Once the Executive Director has approved the post, the Finance Team will be asked for their approval

1.1.3 As a Recruiting Manager, you can track the progress of your VAF by going on Internet Explorer > Workforce > My Recruitment Requests

1.1.4 You will then have access to view which stage your VAF is up to.



Once the VAF has been approved by both the Executive Director and Finance, it is then ready to be sent to our At Risk staff and to be advertised internally for one week in accordance with the Trust's Recruitment Principles – please see (SharePoint link)

## 1.2 Vacancy Approval Panel

1.2.1 The Trust's Vacancy Approval Panel is made up of membership from HR, Finance and a staff side representative. The panel will meet "virtually" every week on a Tuesday and will consider the Trust wide impact of recruiting to the post and provide advice where needed in accordance with the recruitment principles.

1.2.2 Every post submitted before 10:00am on Tuesday will be sent to the Vacancy Approval Panel via email.

- 1.2.3 If a VAF is submitted after 10:00am it will be sent the following Tuesday.
- 1.2.4 All posts will be sent to the Vacancy Approval Panel, despite it's approval status, unless it is fixed term and it has not been stated how long the fixed term contract is for on the VAF.
- 1.2.5 The Vacancy Approval Panel will inform the Resourcing Team which posts can go ahead for advertisement by the close of business on the same Tuesday.

### **1.3 At Risk process**

- 1.3.1 Once the post has been approved by the Vacancy Approval Panel, the Resourcing Team will check if the post has been approved by the Executive Director, approved by Finance and if an Agenda for Change approved job description has been attached or AfC reference number has been provided.
- 1.3.2 If the post has been approved and the job description is the same as the agenda for change approved job description, the post will then be sent via email to all At Risk staff on Wednesday at 10:00am.
- 1.3.3 Any posts approved after 10:00am will be sent to At Risk staff the following Wednesday and you will receive an email confirming that your post is at this stage.
- 1.3.4 If any At Risk staff are interested in your post, they will email the Resourcing Team who will send them the Job Description and a Suitability Interview Pro-forma via email – please see appendix 1.
- 1.3.5 If the At Risk staff feel they meet all of the criteria, they will complete the pro-forma and return it to the Resourcing team.
- 1.3.6 The Resourcing Officer will then email yourself, and your HR Advisor the Suitability Interview Pro-forma and place your post on hold.
- 1.3.7 If the At Risk staff member does not meet the essential criteria, you will discuss your decision with your HR Advisor and complete a Suitability Decision Proforma and return to the Resourcing Team who will send this to the At Risk staff member – please see appendix 2.
- 1.3.8 The recruitment of the post will then continue. Please refer to point 1.4
- 1.3.9 If the At Risk staff member meets the criteria, yourself and your HR Advisor will arrange a Suitability Discussion with the individual and inform the Resourcing Team of this.
- 1.3.10 If they are then successful your HR Advisor will complete the paperwork for them and will let the Resourcing Team know.
- 1.3.11 If they are unsuccessful, yourself and/or your HR Advisor will notify the employee and the Resourcing Team.

1.3.12 The recruitment of the post will then continue. Please refer to point 1.4

## 1.4 Recruitment Planning Form

1.4.1 Once the post has been circulated to At Risk Staff, your post is ready for advertising

1.4.2 You will receive an email on Wednesday with a link asking you to complete a Recruitment Planning Form for this post

1.4.3 You will need to complete details such as advert content, closing, shortlisting and interview dates, interview panel and venue. You may also want to consider how you assess the candidates and you have several options:

- **Interview** – series of competency/scenario based questions
- **Tests** – written tests presented to the candidate prior/after to their interview, can take the form of questions or reports
- **Presentation** – candidates can either be given the subject to prepare prior to interview with the interview invite or given it on the day with time to prepare.
- **Assessment centre** – a variety of exercises including role play, group exercise, written exercise and individual face to face interviews. Advice on running assessment centres can be provided by the Resourcing Team.
- **Psychometric** - personality questionnaires and aptitude tests.

The screenshot shows a web browser window displaying the 'Recruitment Planning' form for Mersey Care NHS Trust. The form is titled 'Recruitment Planning' and is for Mersey Care NHS Trust. It contains various fields for input, including Post Title, Division, Service, Vacancy Reference No, Number of posts to be advertised, How would you like to advertise your vacancy, Initial Length of time to be advertised, Closing Date, and Advert Content. There are also checkboxes for notification preferences and qualification requirements.

1.4.4 There is also some guidance in terms of your advert content:

- Be clear and concise
- Consider target audience
- Promote the Trust and be positive
- Use plain English
- DON'T
- Repeat yourself
- Discriminate (age)
- Include irrelevant information

- 1.4.5 Genuine Occupational Qualifications (GoQ's) may also need to be taken into consideration; it is unlawful to discriminate on the grounds of gender, race, nationality, age, disability, religion or beliefs, however, in certain limited circumstances it is lawful to discriminate in recruitment, training, promotion and transfer in a post where gender, race, nationality, age, disability, religion or beliefs of a worker is a genuine occupational qualification (GOQ).
- 1.4.6 A GOQ exists when the essential nature of the job or particular duties attached to the job call for one of the above requirements. GOQ's are interpreted very narrowly by Employment Tribunals since they are not compliant with the principles of equal treatment, and therefore a Recruiting Manager who is considering the application of a GOQ to a recruitment process must liaise with the Resourcing Manager before a post is advertised.
- 1.4.7 Recruiting Panels will consist of a minimum of 3 people except in exceptional circumstances.
- 1.4.8 In principle, Recruitment Panels must be made up of 2 managers from the service, both at a higher band than that of the post being recruited to and a service user/carer representative.
- 1.4.9 The service user/carer representative for each interview will be arranged by the Recruiting Manager in liaison with the Trust Service User/Carer Team.
- 1.4.10 Dependent upon the banding and function of the post to be filled, it may be necessary to include an external representative.
- 1.4.11 It is not a requirement that a Human Resources Representative is present on recruitment panels, however there may be circumstances where the recruiting panel requests the support of a Human Resources representative. All requests should be made to the Resourcing Team.
- 1.4.12 All recruiting managers should have adequate training on the recruitment process before taking part in a recruitment panel. If you do not feel competent in taking part in recruitment and selection, please contact the Resourcing Team for advice and guidance.
- 1.4.13 All mandatory fields must be completed before the form can be submitted.
- 1.4.14 Once you are happy for the Recruitment Planning Form to be submitted, ensure you change the drop down next to "Submit to Resourcing Team"



## 1.5 Advertising

- 1.5.1 The post will be added to NHS Jobs on Friday morning and advertised internally for one week closing at midnight the following Thursday.
- 1.5.2 On the following Friday, any internal applicants who have applied via NHS Jobs will be put into review ready to be shortlisted by yourself.
- 1.5.3 You will then receive an email from the Resourcing Team informing you that you have internal applicants to shortlist.
- 1.5.4 If there have been no internal applicants the advert will be reopened and advertised externally in line with the Recruitment Principles.

## 1.6 Shortlisting

- 1.6.1 These applicants must be shortlisted and interviewed, if necessary, before the post can be reopened externally, unless you are advertising for more than one post. If there were no internal applicants, or they were not suitable for the post, it will be re-advertised externally in accordance with the Recruitment Principles.
- 1.6.2 Shortlisting guidance can be found in the NHS Jobs guidance. Please see [\(link\)](#)
- 1.6.3 NHS jobs will display the two ticks symbol next to applications from candidates who meet criteria. Please keep this in mind if you are shortlisting and are required to use the desirable criteria as stated in the job description. The Resourcing Team will provide additional advice and support where necessary.
- 1.6.4 If any of the applicants, internal or external, are eligible for interview, the Resourcing Team will invite the applicants to interview via NHS Jobs using the details submitted on your Recruitment Planning Form.
- 1.6.5 You have the choice of using the interview details submitted in your Recruitment Planning form, or creating a new interview date for your internal applicants.
- 1.6.6 You must inform the Resourcing Team what you would like to do once you have shortlisted.

## 1.7 Interviews

- 1.7.1 You will then receive an interview pack via email 2 working days before the interviews which will include: application forms, interview assessment template form, a candidate verification form and a terms and conditions proforma.
- 1.7.2 The planning of your interviews and assessment methods would have been done at the Recruitment Planning Stage (see section 1.4)
- 1.7.3 There are several stages to the interview process which are follows:
  - **Preparation** – ensure all panel members have seen the questions and know which they are asking, have seen the application forms and know what the structure of the interview will be.
  - **Setting the agenda** – tell them what's going to happen and when.

- **Selling the role and answering questions** – give them an overview of the team and its role
- **Setting the candidate at ease/rapport building** – ask an easy question first
- **Criteria questions** – delegate questions to each panel member
- **Clearing up** – do they have any questions. Candidates will have been asked to bring the following with them:
  - Forms of valid, current and original identification, at least one of which should be photographic (e.g. Passport or driving licence)
  - At least one should confirm their current address (valid within the last 3 months).
  - Original qualification certificate
  - Professional registration details

**N.B. You are responsible for collecting this information and completing the candidate verification form. Please ensure you sign and date the photocopied version of these documents.**

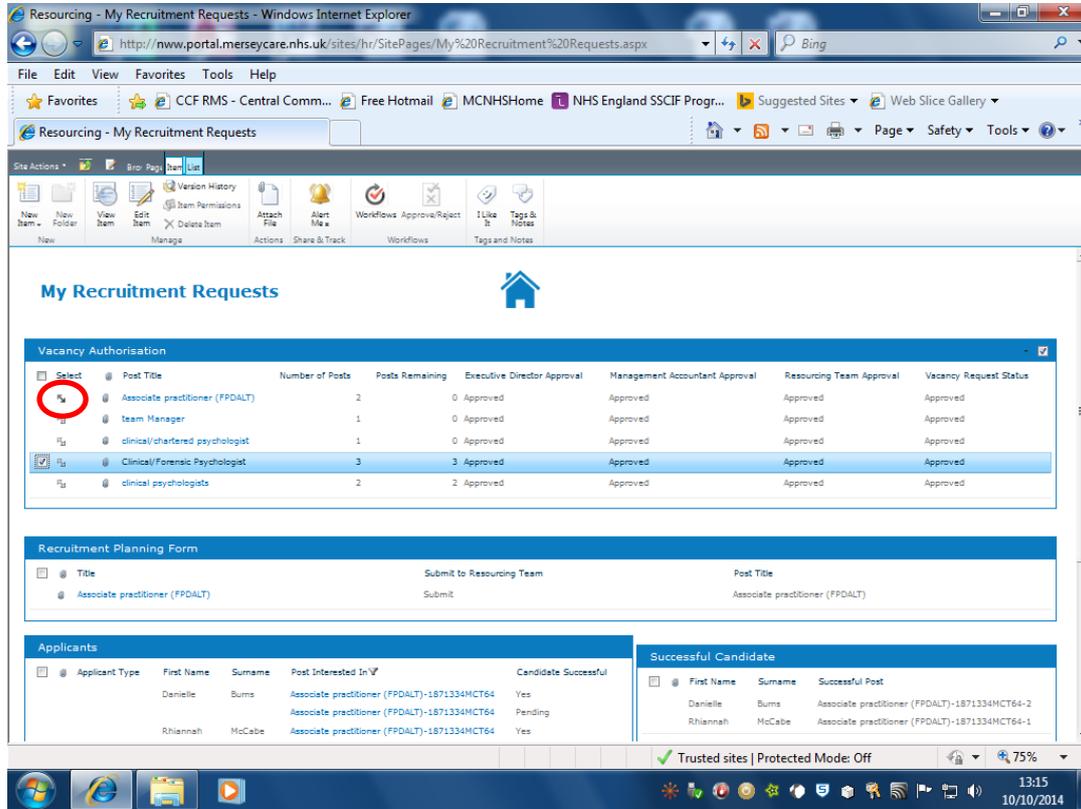
- **Closing the meeting** – what will happen next/timescales? Thank them for coming.

1.7.4 Once all the interviews have been undertaken, you must determine as a panel the score to give each candidate based on the scoring criteria included in the Interview Questions Template. You can either discuss the questions and answers and collectively mark a score or individually mark and score and compare results. The highest scoring candidate must be offered the post.

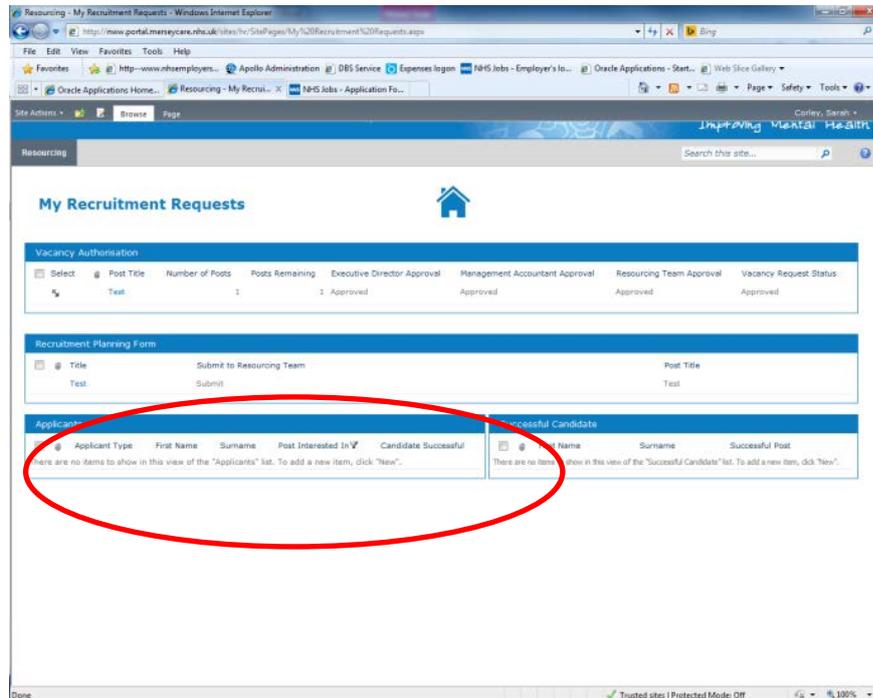
## **1.8 Interview Outcome**

- 1.8.1 Once a decision has been made you have several responsibilities:
- 1.8.2 To contact the successful candidate and give them a Conditional Offer of Employment. You must make it clear that this offer is conditional and is subject to pre-employment checks being received and deemed satisfactory.
- 1.8.3 Please ensure you do not discuss any details relating to their salary if they are asking for higher than the bottom of the pay scale. You will need to contact the Resourcing Manager to discuss the situation.
- 1.8.4 Once you have spoken to the Successful Candidate, you must contact the unsuccessful candidates to advise them of the outcome. As an element of good practice, post interview feedback to interviewee's is normal practice.
- 1.8.5 Advise the Resourcing Team of your decision via SharePoint via Internet Explorer > Workforce > My Recruitment Requests

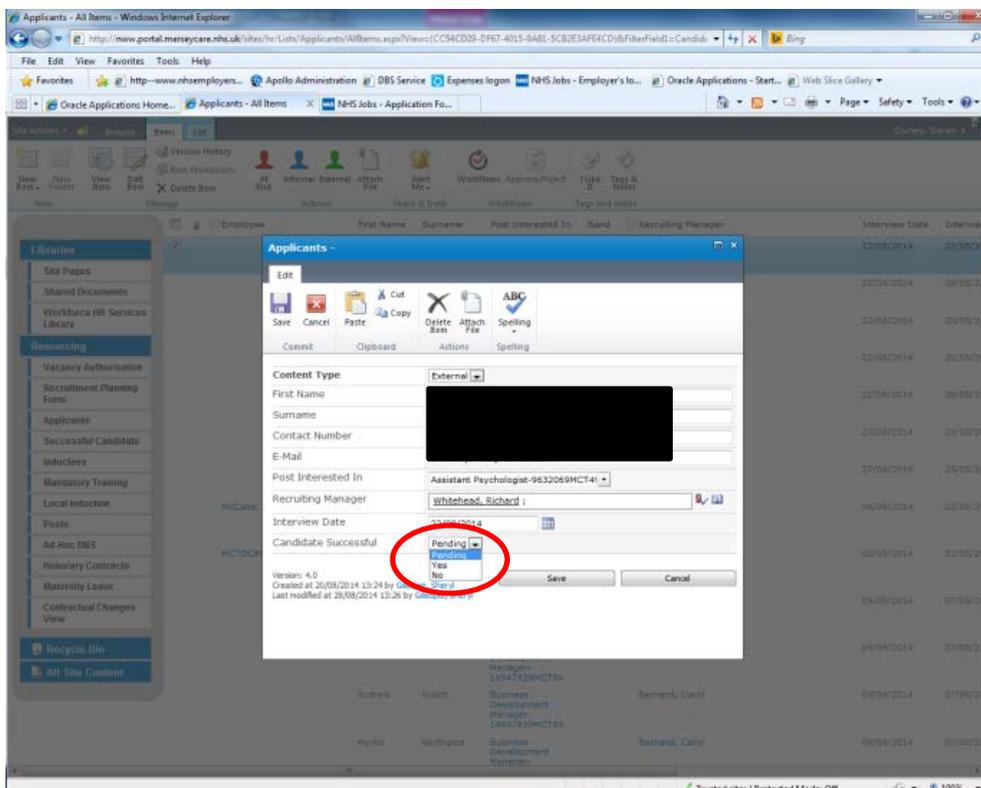
1.8.6 If you have more than one vacancy showing under the Vacancy Authorisation box, you must click the grey double headed arrow next to the Vacancy you wish to see, in order to populate the recruitment planning form and applicants for that vacancy.



- 1.8.7 Under the applicants box will be all those who you interviewed, you must click on the 'select item' box next to each person's name and then click 'edit item' at the top of the page



- 1.8.8 You must then select whether every candidate was successful or unsuccessful by changing the dropdown box from 'Pending' to 'No' or 'Yes'



- 1.8.9 Secondly, you must then update NHS Jobs to indicate who was appointable and who has been unsuccessful – please refer to NHS Jobs guidance <http://nww.portal.merseycare.nhs.uk/sites/hr/Shared%20Documents/Forms/Recruitment.aspx>
- 1.8.10 Once both NHS Jobs and SharePoint has been updated, you will receive an automated email from Resourcing asking you to complete the successful candidate form.
- 1.8.11 You will need to complete details such as whether the successful candidate has another position in the Trust and the post obtained.
- 1.8.12 The Resourcing Team can then commence the candidate’s pre-employment checks.
- 1.9 Pre-employment checks**
- 1.9.1 The Resourcing Team will send a conditional offer letter to the successful candidates and begin the pre-employment checks in accordance with the NHS Employment Standards.
- 1.9.2 These standards apply to all permanent staff, staff on fixed-term contracts, volunteers, students, trainees, contractors, highly mobile staff, temporary workers (including locum doctors), those working on a trust bank, and other workers supplied by an agency.
- 1.9.3 These standards will be adhered to where applicable for the following:
- Verification of identity
  - Right to work
  - Professional registration / Qualifications
  - Employment history/references
  - Occupational Health
  - DBS check
- 1.9.4 The successful candidate will be asked to arrange a sign on appointment with the Resourcing team to provide all the requested documentation and complete a DBS if required.
- 1.9.5 All new starters who require a DBS check must sign up to the DBS Update Service following the check being received, or a start date cannot be agreed, they have 19 days from the date their DBS certificate issued – for further guidance please refer to <http://nww.portal.merseycare.nhs.uk/sites/hr/Shared%20Documents/Forms/Recruitment.aspx>
- 1.9.6 This is also the case for any internal recruitment; if the successful candidate does not sign up they will have to complete another DBS check at a further cost to themselves and may be subject to disciplinary action. Further details can be found in the DBS Policy.
- 1.9.7 If the successful candidate is internal, then Recruiting Manager can take copies of their ID, qualifications and registration, sign and date it and scan it to the Resourcing Team. Please see appendix 3 for the accepted ID.

- 1.9.8 Once references have been received via NHS Jobs, you will be notified and you must log in to approve them – please see NHS Jobs guidance <http://www.portal.merseycare.nhs.uk/sites/hr/Shared%20Documents/Forms/Recruitment.aspx>

## **1.10 Withdrawal of an offer of Employment**

- 1.10.1 If one of the pre employment checks are received and are deemed unsatisfactory to the Trust, then the conditional offer of a post may be withdrawn. This offer will be withdrawn by the Recruiting Manager following full discussion with the Resourcing Manager. This must also be confirmed in writing.
- 1.10.2 The checks may return information that contradicts the details provided by the applicant and raises concerns. In this situation you should:
- **proceed in a sensitive manner** – there is often a reasonable explanation for apparent inconsistencies.
  - **attempt to address your concerns directly with the candidate** – you may wish to call them back for a second interview so that you can follow up with the relevant sources.
- 1.10.3 In exceptional circumstances, where the checks reveal substantial misdirection, you may feel it would be appropriate to report your concerns to the Resourcing Manager/HR Manager who may advise that the Trust make contact with the Local Counter Fraud Specialist or the local police.
- 1.10.4 If the Trust uncovers any incident where false or misleading information has been provided by an applicant, the Trust should contact the Local Counter Fraud Specialist at Mersey Internal Audit Agency immediately.

## **1.11 Candidate Withdrawal**

- 1.11.1 If following the offer of the post, a candidate withdraws or declines the post, then you must then review the scores from the latest round of recruitment to see if there is another appointable candidate.
- 1.11.2 If so, you must contact the Resourcing Team for guidance. If there is not a second appointable candidate, then the post must be re-advertised – please refer to point 1.4 or contact the Resourcing Team for advice.

## **1.12 Start Date and Training**

- 1.12.1 Once all of the successful candidates pre-employment checks are back; Occupational Health, references, DBS, evidence of ID, qualifications and registration, the Resourcing Team will contact you to let you know and to confirm a suitable start date.
- 1.12.2 For external candidates, this must coincide with Corporate Induction/Training unless the role does not require Personal Safety or Security training.

- 1.12.3 Once you have discussed a start date with the Resourcing Team, they will contact the successful candidate to see if the agreed start date is ok.
- 1.12.4 If the start date is agreed by the successful candidate, the Resourcing Team will update SharePoint with this information and you will receive an email with this information.
- 1.12.5 The Resourcing Team will then send a Final Appointment Letter to the candidate outlining their start date and Induction/Training dates.
- 1.12.6 It is important that you contact the candidate prior to their start date to confirm the details. You will then need to contact the successful candidate to discuss their first day in the workplace/shifts etc.
- 1.12.7 IT Accounts - In a bid to improve the Induction/e-learning accounts, the Resourcing Team will request an IT Account from the Service Desk. The account details will be sent to you along with the candidates Induction and contact details.

### **1.13 Contract of Employment/Payroll**

- 1.13.1 For internal candidates – the Resourcing Team will complete a Contractual Change Form which will be processed by the Transactional Team.
- 1.13.2 For External Candidates - the Resourcing Team will send the new starters details to our Transactional Team, to ensure they are on the payroll in time for their start date.
- 1.13.3 The new employee will then receive a Contract of Employment to the new starter which must be signed and returned within 14 days.

### **1.14 Induction**

- 1.14.1 All new employees must attend the Trust Corporate Induction programme. Attendance at Trust Induction is mandatory. Clinical staff newly appointed to the Trust must start employment on the first available induction date. Non clinical staff may start prior to induction. However, they must attend the first available induction session.
- 1.14.2 All new employees must complete local Induction to ensure that they understand the role they are expected to fulfil, understand the boundaries of the role and are also made aware of Trust policies and procedures. This process must take place within 6 weeks from commencement of employment.
- 1.14.3 On completion of a local induction, an Induction Checklist must be signed by the employee and line manager. A copy must be kept by the line manager for audit purposes and the Learning and Development Team notified of the date in which this is completed.

**1.15 Personal Files**

- 1.15.1 For external candidates - A personal file will be created on WinDip for the new employee within 8 weeks.
  
- 1.15.2 For Internal Candidates – the recruitment information will be added to the employee’s personal file on WinDip within 8 weeks.



**Suitability Discussion Proforma  
Decision Sheet**  
(To be completed by recruiting manager)

Name of employee: .....

Post interviewed for:.....

Band: .....

Please demonstrate if candidate meets each essential criteria as set out in the person specification:

**You Must produce 1 document from Group 1 and 2 further documents from Group 1 , 2a or 2b**  
**NB. At least one document must show your current address and at least one document must show your date of birth.**

<p><b>Group 1 Documents</b> (All documents must be originals. Birth certificate must be issued at the time of birth. Driving licence both photo card and counterpart must be presented)</p> <ul style="list-style-type: none"> <li>· Current valid Passport.</li> <li>· Biometric Residence Permit (UK).</li> <li>· Current Driving Licence (UK) (Full or provisional) Isle of Man /Channel Islands; Photo card only (a photo card is only valid if the individual presents it with the associated counterpart licence; except Jersey).</li> <li>· Birth Certificate (UK and Channel Islands) - issued at the time of birth;</li> <li>- Full or short form acceptable including those issued by UK authorities overseas, such as Embassies, High Commissions and HM Forces. (Photocopies are not acceptable).</li> </ul>		
<p><b>Group 2a Documents</b> (All documents must be originals)</p> <ul style="list-style-type: none"> <li>· Current UK Driving licence (old style paper version).</li> <li>· Current Non-UK Photo Driving Licence (valid for up to 12 months from the date the applicant entered the UK).</li> <li>· Birth Certificate (UK and Channel Islands) - (issued after the time of birth by the General Register Office/relevant authority i.e. Registrars – Photocopies are not acceptable).</li> <li>· Marriage/Civil Partnership Certificate (UK and Channel Islands).</li> <li>· Adoption Certificate (UK and Channel Islands).</li> <li>· HM Forces ID Card (UK).</li> <li>· Fire Arms Licence (UK and Channel Islands).</li> </ul>		
<p><b>Group 2b Documents</b> (All documents must be originals and cannot be printed from the internet e.g. Internet bank / credit card statements)</p>		
<p><b>Issued Whenever</b></p> <p>Bank/Building Society Account Opening Confirmation Letter (UK).</p> <ul style="list-style-type: none"> <li>· Letter of Sponsorship from future employment provider (Non-UK/Non-EEA only – valid only for applicants residing outside of the UK at time of application).</li> <li>· EU National ID Card.</li> <li>· Cards carrying the PASS accreditation logo (UK and Channel Islands).</li> <li>· Letter from Head Teacher or College Principal (16/19 year olds in full time education – (only used in exceptional circumstances when all other documents have been</li> </ul>	<p><b>Issued within 3 months</b></p> <p>Bank/Building Society Statement (UK and Channel Islands or EEA)* (Non-EEA statements must not be accepted).</p> <ul style="list-style-type: none"> <li>· Credit Card Statement (UK or EEA)* (Non-EEA statements must not be accepted).</li> <li>· Utility Bill (UK)* – Not Mobile Telephone.</li> <li>· Benefit Statement* - e.g. Child Allowance, Pension.</li> <li>· A document from Central/ Local Government/ Government Agency/ Local Authority giving entitlement (UK and Channel Islands)*- e.g. from the Department for Work and Pensions, the Employment Service , Customs and Revenue, Job Centre, Job Centre Plus, Social Security.</li> </ul>	<p><b>Issued within 12 months</b></p> <p>Mortgage Statement (UK or EEA)** (Non-EEA statements must not be accepted).</p> <ul style="list-style-type: none"> <li>· Financial Statement ** - e.g. pension, endowment, ISA (UK).</li> <li>· P45/P60 Statement **(UK and Channel Islands).</li> <li>· Council Tax Statement (UK and Channel Islands). **</li> <li>· Work Permit/Visa (UK) (UK Residence Permit) (valid up to expiry date). **</li> </ul>

## MERSEY CARE NHS FOUNDATION TRUST

## Fit and Proper Person Test Process

**BACKGROUND**

1. In direct response to failing at the Winterbourne View Hospital and the Francis Inquiry into Mid Staffordshire NHS Hospital Trust Regulation 5 of *The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014* (referred to as the 2014 Regulations) has been introduced.
2. All NHS providers are required to demonstrate that appropriate processes are in place to confirm that directors (and non-executive directors) are of good character; hold the required qualifications and have the competence, skills and experience required which may include appropriate communication and leadership skills, as well as a caring and a compassionate nature
3. The 2014 Regulations places a duty on NHS providers not to appoint a person, or allow a person to continue to be, an Executive Director or equivalent or a Non-Executive Director under given circumstances. This means ‘directors’ should not be appointed / continue to hold office unless they are:
  - a) of good character;
  - b) have the necessary qualifications, skills and experience;
  - c) are able to perform the work that they are employed for after reasonable adjustments are made;
  - d) able to supply information as set out in Schedule 3 of the 2014 Regulations when requested by the Care Quality Committee (see Appendix A).
4. When assessing a person being ‘of good character’ NHS providers are required to take account of Schedule 4 of the 2014 Regulations, namely:
  - a) whether the person has been convicted in the United Kingdom of any offence or been convicted elsewhere of any offence which, if committed in any part of the United Kingdom, would constitute an offence, and
  - b) whether the person has been erased, removed or struck off a register of professionals maintained by a regulator of health care or social work professionals.
5. The CQC’s definition of good character is not the objective test of having no criminal convictions but instead rests upon a judgement as to whether the person’s character is such that they can be relied upon to do the right thing under all circumstances. This implies discretion for Boards in reaching a decision and allows for the fact that people can and do change over time.
6. The regulations list categories of persons who are prevented from holding the office and for whom there is no discretion:

- a) the person is an undischarged bankrupt or a person whose estate has had a sequestration awarded in respect of it and who has not been discharged;
  - b) the person is the subject of a bankruptcy restrictions order or an interim bankruptcy restrictions order or an order to like effect made in Scotland or Northern Ireland;
  - c) the person is a person to whom a moratorium period under a debt relief order applies under Part VIIA (debt relief orders) of the Insolvency Act 1986(40);
  - d) the person has made a composition or arrangement with, or granted a trust deed for, creditors and not been discharged in respect of it;
  - e) the person is included in the children's barred list or the adults' barred list maintained under section 2 of the Safeguarding Vulnerable Groups Act 2006, or in any corresponding list maintained under an equivalent enactment in force in Scotland or Northern Ireland;
  - f) the person is prohibited from holding the relevant office or position, or in the case of an individual from carrying on the regulated activity, by or under any enactment;
  - g) the person has been responsible for, been privy to, contributed to or facilitated any serious misconduct or mismanagement (whether unlawful or not) in the course of carrying on a regulated activity, or discharging any functions relating to any office or employment with a service provider.
7. It will be the responsibility of the Chairman to discharge the requirement to ensure that all directors meet the fitness test and do not meet any of the 'unfit' criteria (see paragraph 8 below).

## **SCOPE**

8. The 2014 Regulations state that as well as Non-Executive Directors, persons who are Executive Directors or 'equivalent' are subject to the regulations. In its guidance the CQC makes references to associate directors and persons irrespective of their voting rights. To avoid any doubt, the trust regards the following posts as subject to the 2014 regulations as they are either members or may usually attend the Board:
- a) the Chairman and Non-Executive Directors;
  - b) Board Advisory Members;
  - c) the Chief Executive and Executive Directors:
    - Executive Director of Communications and Corporate Governance,
    - Executive Director of Finance,
    - Executive Medical Director,
    - Executive Director of Nursing,
    - Executive Director of Workforce;
  - d) the Advisory Directors:
    - Associate Medical Director, Local Services Division
    - Associate Medical Director, Secure Division
    - Chief Operating Officer, Local Services Division
    - Chief Operating Officer, Secure Division

- Director of Delivery
- Director of Informatics and Performance Improvement
- Director of Strategy and Commercial Planning

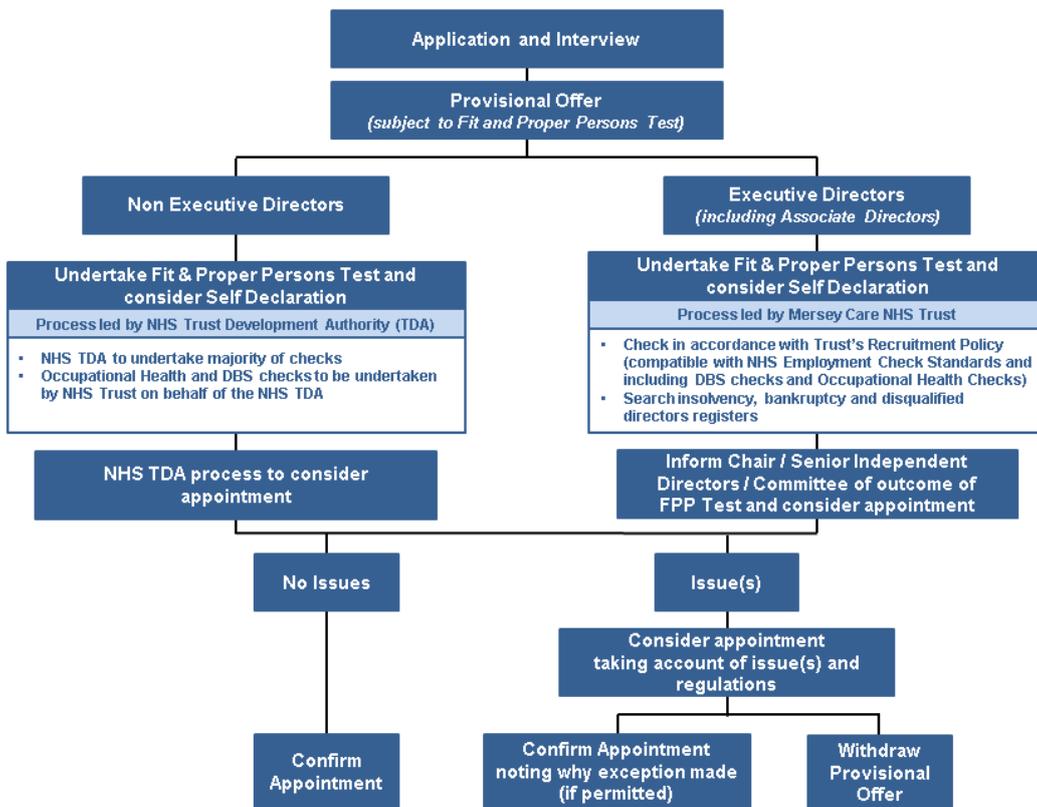
e) the Trust Secretary.

**PROCESS**

9. Given that Mersey Care is an NHS Foundation Trust, the process will differ for the Chairman and Non-Executive Directors and the other ‘directors’ listed in paragraph 7 above because the duty to ensure compliance with the 2014 Regulations rests with the NHS Trust Development Authority (TDA) for the Chairman and Non-Executive Directors.

10. The following diagram outlines the process to be adopted by the trust in making new appointments.

**Figure 1: Fit and Proper Persons Test (FPP) for New Appointments**



11. For ‘directors’ not covered by the TDA the trust will use its existing recruitment and HR policies, which incorporate processes such as the *NHS Employment Check Standards* and *Disclosure and Barring Service* (DBS) checks, to undertake the fit and proper persons tests. In addition checks will need to be made against insolvency / bankruptcy registers and disqualified director registers.

## RECRUITMENT PRINCIPLES

Author: Original author Susan Hunt, HR Consultant.  
Amendments author Jenny Charnock, Strategic HR Business Partner  
Date Approved: 8 October 2014  
Version Number: Version 2  
Review date: October 2015

- The post for which any decision is made about slotting in / eligibility to compete on a restricted basis, will be an individual's substantive post – acting up / secondment arrangements will not be considered.
- Staff who are identified at risk and serving their notice period have priority access to jobs over all other staff (except those covered by the Equality Act -DDA) of the same band or one band lower where it could be considered a Suitable Alternative Employment opportunity, with protection as per the Organisational Change Policy.
- Staff who are identified as at risk during the legal functional consultations, at a time where the change is imminent, but who have not been served their formal notice yet should also have access to posts of the same band and where they would meet the essential criteria for the role.
- Staff can not gain access to a promotion opportunity on a restricted basis. Staff already on the same pay band to the new post will have access to jobs before anyone in the same function but who is on a lower band. As an example, a band 3 in finance will have access to a band 3 in HR, before a band 2 in HR would have access to the post.
- This will maximise the opportunity for staff to retain their level of pay. Only if the post still could not be filled, could the post be made available to those on a lower pay band to apply for.
- The Trust has established a vacancy control panel with membership of HR, Finance and a staff side representative. The panel will meet every week – can be done virtually – and will agree the recruitment process that needs to be followed based on the following principles:
  - All posts must be made available to staff who have been identified as at risk of redundancy in the first instance and then follow the priority list as stated in the trust organisational change policy
  - If nobody is eligible, all posts must be advertised internally for one week – jobs shouldn't close early because they have enough applicants. Posts must be advertised internally first unless the following criteria applies;
    - The post requires specialist qualification, skills or experience that is highly unlikely to be available internally
    - There is more than one post and it is highly unlikely that all the posts will be filled internally
    - There is an impact on safer staffing requirements and the post/s is highly unlikely to be filled internally

Where one or more of the above criteria apply the decision to go straight to external advertising can be made by the Recruiting Manager, Divisional Strategic HR Business Partner and the Resourcing Team Manager (NB. Internal applicants are still eligible to apply when a post is advertised externally).

- If the successful applicant currently works for Mersey Care, either as a permanent employee, fixed term appointment or agency worker, they will be offered the new role on a permanent basis, if permanent funding is available.
- If nobody applies or meets the person spec for the role, the job will be advertised externally.
- All posts requiring an external appointment should only be made on a fixed term basis, UNLESS THERE IS A REQUIREMENT FOR A PROFESSIONAL QUALIFICATION / HIGHLY SPECIALIST KNOWLEDGE THAT WOULD PREVENT THE MANAGER BEING ABLE TO APPOINT ON A FIXED TERM BASIS.
- The rationale for any permanent appointments must be signed off by an Executive Director outside of their division.

### Implementing the recruitment principles for the Corporate Services Structures

Now that the revised structures for Corporate Services have been designed, costed and agreed by the Exec Team and once they have been fed-back to staff at the end of May, the following processes should be used to put people against posts in line with the function's transition plan:

- There should be a functional meeting (i.e. Finance) to explain the new structure, job roles and bandings to all staff. At this meeting, the timescale for implementing the changes and which posts will be subject to recruitment rather than organisational change should be explained.
- **Totally new posts (a post that doesn't exist at all now or a post where the role has changed leading to a banding increase) should be recruited to using the recruitment principles, before any period of Organisational Change occurs.**
  - This will avoid the stress of people being put at risk who could apply for posts at a higher band, where they meet the person specification, and be successful.
  - Advertising all posts internally first, wherever possible, protects our existing staff before we look to bring in people from outside of the Trust.
  - These posts will be advertised internally for anyone within the Trust to apply for, so not ring-fenced to functions.
  - Short listing of applicants for these posts will be against the person specification and if there is more than one applicant who meets the spec there will be a competitive interview process. Even if there is only one applicant, there should be some formal assessment of the candidate rather than them just being slotted in based on the information contained in an application form.
  - Recruitment to new posts is likely to happen hierarchically so that senior people can drive forward the change and be involved in the recruitment of others in their teams.
  - Unsuccessful applicants will be eligible to be considered for other posts within the Trust in open competition or jobs within their own function at the same band on a restricted basis.
  - To manage the organisational change aspect of the new structures, legal consultation meetings will need to take place within functions. If the

timescale for implementing the change means some posts will be affected in 2014/15 whilst others may not occur for another couple of years, there will need to be several consultation meetings to manage the phasing of the new structures.

- Posts that already exist, where the banding is the same, where the content of the role is 80% similar to the previous role and where there is only one suitable person doing that role will be filled by **slotting in** that person into the post.
- Posts that already exist, where the banding is the same, where the content of the role is 80% similar to the previous role but where there are more people than posts will be filled through a **competitive process**.
  - Successful people will be appointed to the post
  - Unsuccessful people will be identified as at risk, with support available to them to find suitable alternatives at the same band elsewhere in the Trust or in a role one band lower than their substantive post with protection, as per the organisational change policy.
- Posts that have changed more than 20% from the original role, will be made available to staff who have been identified as at risk of redundancy in the first instance
- If nobody is eligible, the posts will be advertised internally first for one week, wherever possible.
- If nobody applies or meets the person spec for the role, the job will be advertised externally.

## Appendix D – Pre-employment Checks Audit Proforma

### PRE EMPLOYMENT CHECKS AUDIT PROFORMA - NEW STARTERS

This quarterly audit will check that the required documentation can be evidenced in the personal files of a random sample of 10% of new starters from all staff groups.

<b>Date of Audit Period</b>	<b>Name of Auditor</b>
Apr - June / July - Sept / Oct - Dec / Jan - Mar	
<b>Name of Employee</b>	<b>Staff Group</b>
<b>Is copy of proof of identity recorded on the personal file?</b>	<b>If yes, what proof is recorded?</b>
Yes / No	
<b>Has evidence of the individual's right to work in the UK been recorded?</b>	<b>If yes, what proof is recorded?</b>
Yes / No	
<b>Is a DBS check required for the role?</b>	<b>If yes, is evidence of a satisfactory DBS check recorded?</b>
Yes / No	
<b>Does the role require certain qualifications?</b>	<b>If yes, is proof of the qualifications recorded?</b>
Yes / No	
<b>Does the role require clinical professional registration?</b>	<b>If yes, is proof of the registration on appointment recorded?</b>
Yes / No	
<b>Is an alert letter check required for the role?</b>	<b>If yes, is proof that an alert letter check has been undertaken?</b>
Yes / No	
<b>Are there copies of 2 references or one reference spanning 3 years on the personal file?</b>	<b>If no, how many references/years are there?</b>
Yes / No	
<b>Have the references been obtained from the employee's last two employers or one employer spanning 3 years?</b>	<b>If no, are copies of alternative, acceptable references on the personal file?</b>
Yes / No	
<b>Does the personal file have evidence that the individual was cleared by Occupational Health?</b>	
Yes / No	