5 Boroughs Partnership NHS Foundation Trust

Freedom of Information Act 2000

Disclosure Log: Response to Request

Our Reference Number: FOI 16/006

14 January 2015

Request

On 9 January 2015 the Trust received an email requesting the following information and a further clarification email clarifying vacancies as 'establishment vacancies'.

1. Total number of WTE employees.

   2855.96

2. Total number of vacancies.

   173.49

2a. Total number of vacancies at Band 1-4.

   37.32

2b. Total number of vacancies at Bands 5-7.

   121.91

2c. Total number of vacancies at Band 8a and above.

   14.26

3. Please provide your recruitment policy detailing the recruitment process and any current restrictions to recruitment.

   Please find attached the Trust's

   - Recruitment and Selection Policy
   - Recruitment and Selection Procedure

Review Procedure

We hope this provides the information required. However, if it is felt that the way the request was handled or the content of the response is unsatisfactory and should be

reviewed, please write to the Information Governance & Clinical Coding Team at FOI@5bp.nhs.uk requesting an internal review and stating the reference number at the top of this document.
A request for an internal review should be submitted within 40 working days of the day this response was sent. Any such request received after this time will only be considered at the discretion of the Chief Information Officer.

If it is then felt that the outcome of the internal review is unsatisfactory, a complaint can be made directly to the Information Commissioner's Office (ICO) for a decision, but it should be noted that the ICO will not make a decision unless the Trust's internal review process has been followed first. The ICO's contact details are:

Telephone: 0303 123 1113

Email: casework@ico.org.uk

Website: http://www.ico.org.uk/complaints

Address: Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF

5 Boroughs Partnership NHS
NHS Foundation Trust

trust policies...

Recruitment and Selection Policy

This policy applies Trust wide

A Better View... of mind & body

Document control page

Procedure number	HR/R/001
Name of Policy	Recruitment and Selection Policy
Name of linked Policy	Recruitment and Selection Procedure
Accountable Director	Director of Strategy and Organisational Effectiveness
Author	Resourcing Manager
Status (draft/ ratified)	Draft
Ratifying Committee/ date	Audit committee
Review date	Dec 2018
Brief description of changes following review	Following the introduction of the TRAC recruitment system, the policy has been updated to reflect the changes in recruitment policy. It was noted at JWG that there was no staff side agreement to service user involvement at below band 8A.
Equality Impact Assessment	The Trust aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others. This Procedure has been Equality Impact Assessed and does not discriminate.

Version control

Version number	Development Timeline	Date
V4.2	PRG version	April 2015
V4.3	Changes following PRG	May 2015
V4.4	JWG version	June 2015

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1. INTRODUCTION

5 Boroughs Partnership NHS Foundation Trust is committed to ensuring our workforce has the right skills, values and behaviours, in the right numbers, at the right time and in the right place.

The Recruitment and Selection Policy and Procedures have been designed to ensure managers are consistent, objective and fair throughout the recruitment process. This includes ensuring the recruitment and selection process is compliant with:

- NHS Employment Check Standards,
- NHS Employers guidance
- DBS Code of Practice
- Current Employment Legislation including the Equality Act.

In addition to ensuring compliance against the above, recruiting managers confident in recruiting the 'right candidate' during the selection process.

The policy will be applied consistently and fairly to all employees in line with equality legislation, regardless of their protected characteristic.

1.1 Aims

The Recruitment and Selection Policy aims to:

- Ensure all legislative requirements and Trust standards are met.
- Promote the Trusts Interview Involvement Scheme, proactively involving our service users and carers in Values Based Interviews.
- Highlight the importance of Values Based Recruitment at all stages of the recruitment process, ensuring candidates are selected against both the technical competencies and their values and behaviours.
- Ensure that recruitment and selection processes are fair, consistent and efficient to provide equality of opportunity for all.
- Promote the Trusts vision by enabling those involved in recruitment to attract, develop and retain the best people across all disciplines.
- Promote the Trust as an employer of choice, becoming an organisation that people want to work for.
- Set standards of best practice and ensure adherence to these standards throughout the Trust.

2. POLICY

2.1 Coverage

This Policy covers the roles of Recruiting Managers, the Resourcing Team, HR and Staff Side.

2.2 Scope

This policy applies to all employees of the trust and is also applicable to the recruitment and selection of new members of the Trusts Temporary Workforce Bank.

2.3 General Principles

2.3.1 Authorising and advertising vacancies

- All vacancies, (including secondments, acting up and fixed term appointments) must be approved via the Trust authorisation process.
- All vacancies will be advertised and will be supported by a current, up to date, standardised Job Description and Person Specification. Any new or amended Job Description must be reviewed by the Job Matching panel in HR.
- Vacancies must be advertised externally via the Trust Careers page http://jobs.5boroughspartnership.nhs.uk/ The majority of other jobs are also advertised on NHS Jobs. In very exceptional circumstances, posts may be advertised internally. Where a Recruiting Manager believes that an internal advert is necessary to support the needs of the service, they must gain approval from the Deputy Director of People Services. Decisions will be made on a case by case basis.
- Acting up opportunities must be fair, transparent and advertised effectively for all staff.
- Fixed term contracts must only be used where there is a genuine service need to do so. Managers are to only consider a fixed term contract when one of the following applies:

  1. It is known in advance that a post will come to a specific end.
  2. The employment is for completing a specific time limited task.
  3. The employment is for the purpose of covering long term absence from work (i.e.: maternity leave).
  4. A post is dependent on external funding that might only be available for a limited period.
  5. A post is to cover a period of secondment.

2.3.2 Selection Process

- Shortlisting and interviewing must be conducted by a minimum of two people.
- All Recruiting Managers must attend Values and Behavioural Based Interview Training prior to conducting interviews. (Amended from ‘essential’)
- It is a requirement that recruiting managers should also attend Recruitment Process Training.
- Interviews for Medical and Band 7 and above posts, should include a Service user / Carers on the interview panel. To book a Service user / Carer, please contact the Equality, Diversity and Inclusion team.

- Additional selection methods may be used where they are necessary to

support the selection process. All tests must be free from bias and have clear scoring criteria. The use of psychometric tests will be limited to those posts at Band 8b and above and will only be administered by trained assessors
- As an element of good practice and to promote the Trust as an employer of choice, post-interview feedback will be offered to all interviewees by recruiting managers.

2.3.3 General Principles

- All candidates must complete all pre-employment checks, as defined by NHS Employers 'Employment Check Standards' before they commence employment.
- All parties involved in the recruitment process commit to adhere to the Recruitment and Selection policy and procedures and to seek advice when required from the Resourcing team.
- 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.
- Equality of opportunity will be an integral part of the recruitment process.
- All processes will be fair, consistent and reliable reflecting good practice principles.
- The Trust is committed to Safeguarding and promoting the welfare of children and vulnerable adults and expects all candidates to share this commitment.
- From time to time the Trust may need to make use of external agencies. Where agency cover is required, managers must use Preferred Suppliers nominated by the Procurement team.
- The Trust will monitor the outcomes of its recruitment processes. This will allow for the Trust to publish information as required by legislation and also to help identify any inequitable outcomes.
- The Trust will show a positive and enabling attitude to job applicants with mental health issues.

2.4 Equal Opportunities and Diversity

Treating our staff fairly, equally and as individuals irrespective of their protected characteristic, is a commitment the Trust takes seriously.

The Trust aims to attract and appoint the right candidate for each of its vacancies.

Diversity is about recognising and valuing people from different backgrounds, knowledge, skills and experiences. It is also about encouraging and utilising these differences to bring about an effective and unified workforce. The Trust is committed to ensuring all staff ensure they fully promote and practice this approach.

Decisions relating to the shortlisting and appointing of candidates must not take into consideration any protected characteristics or other irrelevant factors.

Careful consideration must be given to any candidate with a disability in accordance with the Equality Act 2010. This requires consideration to be given to any 'reasonable adjustment' that could be made which would allow the person to undertake the post.

As part of the Two Ticks Scheme, the Trust undertakes to interview all disabled applicants who meet the minimum essential criteria for a job vacancy and consider them on their abilities. As part of this Scheme, applications will also be considered alongside any reasonable adjustments, which may be necessary.

2.5 Avoiding discriminative practices

It is important that all adverts posted by the Trust are free from discrimination, whether directly or indirectly. Equally, job descriptions and person specifications must comply with Employment Equality Regulations.

The Resourcing team will ensure that any direct or indirectly discriminative terms are removed from all application forms and that equality and diversity information (Part A of the application form) is detached prior to the short listing process. This is processed automatically on NHS Jobs for all online applications.

Any potential discriminatory comments added to any adverts or associated documents, will be removed by the Resourcing team. For further information, please see the Recruitment and Selection Procedure.

2.6 Existing Employees - Re-Deployment due to Disability or Sickness – Same/equivalent/lower grade

Where it is deemed necessary to re-deploy an employee because of their inability to continue to perform their duties to an acceptable standard as a result of a disability or sickness / absence where redeployment is a reasonable adjustment, the Trust will explore whether any suitable alternative post is available. In accordance with relevant Trust Policy, this will be for a period of up to 3 months.

2.7 Medical Staff

The recruitment and selection of medical staff will follow the same principles as outlined in this policy. However due to the specialist nature, and different processes required in the recruitment of Medical Staff, a separate Procedural document will be followed.

2.8 Agency Workers

Managers may use agency workers from time to time, to cover sickness, vacancies or undertake specific short term project work. The use of agency workers must only be undertaken by following the approved process for using agency workers as detailed by the Trusts Procurement department. Only agencies that are part of the GPS approved list should be contacted as these agencies satisfy all pre-employment checks as part of their GPS membership.

It is also a requirement of Monitor that only framework compliant agencies are used.

Any agencies used will be written to by the Human Resources team once a year to seek assurances that their recruitment procedures comply with the Trusts pre-employment standards.

2.9 Recruitment to Senior Leadership Posts

A competency-based recruitment process will be implemented for all senior leadership roles. The roles include; Heads of Service, Lead Medical Consultants, Associate Medical Directors, Assistant Directors, Deputy Directors and Directors. The framework may consist, but is not limited to the following elements

- Written supporting statement of evidence against the 5 Boroughs leadership competences
- On-line aptitude, ability and personality assessment (measuring motives and talents)
- A competency-based interview with service-user representatives
- A presentation

2.10 Duties

All staff who have access to information relating to Recruitment and Selection have a responsibility to ensure that this information is managed in line with the Data Protection Act 1998. This includes that confidentiality is maintained throughout and all information is held and transported in a secure and safe manner.

2.10.1 Role of the Trust Board

The Board (and Trust Management Team) has a strategic responsibility to ensure that all recruitment and selection within the Trust is undertaken in a fair, equitable and reliable manner, taking account of all relevant legislation.

2.10.2 Role of the Director of People and Integrated Governance

To oversee the introduction, operation and monitoring of the policy, and to ensure that regular reports are provided to the Trust Management Team and as appropriate the Board on all recruitment related issues.

2.10.3 Role of Recruiting Managers

Apply the recruitment and selection policy consistently and fairly and within the legal requirements and current recruitment best practice guidelines/procedures. They also need to ensure that all their staff who have recruitment and selection responsibilities understand the *Recruitment and Selection Policy* and Procedures and attend the Trust’s mandatory Values and Behavioural Based Interviewing and Recruitment Process Training courses.

2.10.4 Role of the Resourcing team

- Provide advice and guidance to Managers on the *Recruitment and Selection Policy and Procedures.*
- Deliver and facilitate courses for Recruiting Managers in Values and Behavioural Based Interviewing, Safer Recruitment and Recruitment Process Training
- Deliver a bespoke interviewing course for Service users and carers, covering Values and Behavioural Based Interviewing and Employment Legislation.
- Deliver Interview Skills Sessions to staff during periods of Organisational Change.
- Support Recruiting Managers with hard to fill posts, overseas recruitment and the processing of VISA's
- Provide expert support with the selection for senior appointments
- Centrally administer the recruitment process in line with relevant standards and best practice.
- Establish and maintain a monitoring system for the recruitment process.
- Promote consistently high and equitable standards of recruitment and encourage best practice.

2.10.5 Role of Workforce Information team

To ensure that all vacancy requests are recorded and dealt with in a timely manner. They will also take responsibility for supporting the production of recruitment statistics that will evidence the Trust has a speedy and efficient recruitment process.

2.10.6 Role of Trade Union Representatives

Support and promote the fair and equitable application of the Recruitment and Selection Policy and advise members if requested.

2.10.7 Duties of Employees

Ensure that where they are involved in the Recruitment and Selection of staff they will adhere to the policy and procedures at all times.

3. IMPLEMENTATION & COMPLIANCE

The Trust will demonstrate as part of its implementation programme that the policy is known and understood by:

- the delivery of both Values and Behavioural Based Interview Training and Recruitment Process Training
- both referring to and including the policy on People Direct.
- undertaking briefings and awareness sessions
- including in corporate and local inductions
- ensuring that records are maintained locally to demonstrate activities

trust procedures...

Recruitment and Selection Procedure

This procedure applies Trust Wide

Document control page

Procedure number	HR/R/022
Name of Procedure	Recruitment and Selection Procedure
Name of linked Policy	Recruitment and Selection Policy
Accountable Director	Director of Strategy and Organisational Effectiveness
Author	Resourcing Manager
Status (draft/ ratified)	Ratified
Ratifying Committee/ date	Audit Committee Dec 2015
Review date	Dec 2016
Brief description of changes following review	
Equality Impact Assessment	The Trust aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others. This Procedure has been Equality Impact Assessed and does not discriminate.

Version control

Version number	Development Timeline	Date
4.2	JWG	June 2015
5.0	Final	Dec 2015

Contents Page

1. Introduction

These procedures outline the responsibilities recruiting managers and the resourcing team have in relation to the recruitment process. They also ensure the following:

- that all candidates are treated fairly and equitably
- that all candidates are interviewed in line with the Trusts Values
- that all successful candidates meet the NHS employment check standards and the Care Act (2014)
- that any delays are minimised, reducing the time to recruit

Throughout the procedures reference is made to various forms and guidance. These can be accessed via the Appendices section.

Any further support can be provided by the resourcing team.

2. Procedure Details

2.1 Identifying a Vacancy

Under normal circumstances, a vacancy arises when a member of staff leaves. However, vacancies may arise for other reasons, such as the development of services, maternity leave or organisational change.

Prior to any recruitment the recruiting manager must review the need for the post and consider the most appropriate resources required within the service before progressing to advert. The manager must consider:

- Is the job still required? Could a different skill mix be considered?
- What value does the post add to the team and delivery of service?
- How will the post be funded?
- Do the job description and person specification still reflect accurately the requirements of the post?
- Has the pay band been revised via a formal agenda for change matching panel?
- Is the post suitable for flexible or mobile working?
- Does the exit questionnaire for the previous post holder indicate a need for changes?

2.1.1 Acting Up

Acting up refers to a short period of time, (normally no more than six months or less than one month) where an individual is covering work of a more highly paid post. Acting up provisions will be the subject to the same approval / advertising process as other vacancies but may, subject to organisational need, be advertised internally.

All acting up arrangements must be reviewed at least one month prior to the end of the six month acting up period by the line Manager. The purpose of the review is to ensure:-

- that if an acting up arrangement is to extend beyond six months that the reasons for the extension is established, in consultation with staff side

- that consideration is given to other staff within the team who may be eligible to act up and they are formally notified of this opportunity.

2.1.2 Secondments

2.1.2.1 Internal Secondments

Secondments offer development opportunities by which individuals may broaden their experience and improve their development. Usually people will be seconded in the direction of different or more demanding work, perhaps with more responsibility, though there is nothing in principle against being seconded to a position with less demanding duties.

Secondments must be advertised and subject to the same approval / advertising process as other vacancies so will be subject to a competitive process. Where secondments are short term (i.e. less than six months) advertisements may be restricted to internal recruitment processes in the first instance.

Before an employee applies for a secondment opportunity they must establish with their existing manager 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 salary of the secondment post and will, at the end of their secondment have the right to return to their substantive post, or if this is no longer available, a suitable equivalent post on their previous terms and conditions of employment.

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

2.1.2.2 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 they must establish with their existing manager that the external secondment can be facilitated.

The existing manager must consider service requirements and how the service would benefit from the secondment e.g. personal development of the employee, acquired skills which can be brought back 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 and 5BP will receive a formal secondment agreement from the host Trust confirming the terms and conditions of the secondment. All parties must agree to the terms and conditions.

On completion of the external secondment, the employee will return to a post agreed between the employee and the Trust at a salary which is equivalent to their substantive post immediately prior to commencing in the secondment. (This is subject to any National Agenda for Change salary increases.) In the event of organisational change affecting the individual’s substantive post, the Trusts Change Management Policy and Procedure will apply.

During the external secondment, the manager will ensure they maintain regular contact with the employee e.g. Trust Newsletters, Team Briefs and Trust vacancies.

In the event that an external secondment may be 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 cannot be extended the employee will be required to return to the Trust on that date that was previously agreed prior to their secondment.

2.1.2.3 Secondments into the Trust

All staff seconded into the Trust must undergo the full recruitment process including Trust and Local Induction. In addition, any staff working on inpatient wards must complete Conflict Resolution training prior to commencement in post.

On completion of the secondment period, should the Trust be in a position to extend the secondment, this may be extended if, in the manager’s judgement this will not disadvantage other staff within the Trust and can be justified in meeting the business needs of the department.

5BP will provide a secondment agreement outlining the terms of the secondment for all parties to agree.

2.1.3 Fixed Term Contracts

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

Fixed term contracts of employment must only be used for the genuine organisational reasons, made for a specific term and terminate on completion of a task or the occurrence or non-occurrence of a specified event.

It is the Recruiting Manager's responsibility to ensure that during the recruitment process for a fixed term post the time, temporary nature and duration of the employment contract will be clearly communicated to potential applicants. Fixed term contracts will only be used where there is a genuine service need to do so. Managers must only consider a fixed term contract when:

- a requirement to provide temporary staffing cover arrangements during a period of transition due to organisational change

- a requirement to provide temporary staffing cover arrangements for the extended absence of an employee due to maternity leave, annual leave, training purposes, employment break or sickness absence

- a requirement to complete project work which is a temporary operational requirement

- reasons of short term funding due to economical factors

- a temporary response to service needs which are temporarily over and above the service's permanent establishment.

Workforce Information will produce a weekly report detailing staff on fixed term contracts a minimum of 8 weeks before they are due to end. People Services will liaise with Business Managers / Head of Service or equivalent and provide advice regarding the extension or cessation of a fixed term contract.

2.1.4 Temporary and Agency Staff

Where a requirement arises to cover a vacancy on a short term basis such as sickness, temporary bank staff or agency staff can be used.

The Temporary Staffing team must be contacted in the first instance. Only where the team are unable to provide a temporary bank worker, should agencies on the agreed framework can be contacted.

It is important that only agreed framework agencies are used for the following reasons:
1. All framework agencies agree to adhere to the NHS Employment Check Standards.
2. Preferential rates have been agreed with these suppliers.
3. Agencies not on the agreed framework may have been removed for compliance or quality reasons.
4. Framework agencies are audited for compliance.
5. Agreed framework agencies agree to ensure they manage compliance with the Agency Workers Regulations.
6. It is a requirement of Monitor that only framework agencies are used.

2.2 Job Descriptions and Person Specifications

The Trust has a standard template for all job descriptions. It is important that this standard template is used. Where a recruiting manager provides a Job description which is out of date or on the incorrect template, the resourcing team will ask require that this is provided. Vacancies will not be advertised until the correct template has been provided and the Resourcing team will mark any vacancy requests on TRAC as ‘reject - further information required.’ On receiving the relevant Job description, the resourcing team will revert the status and advertise the post.

All positions whether paid or voluntary, must have a Job description and Person specification.

If you need to create a new Job description and Person specification, you must contact the HR department as this will need to be evaluated.

It is important that recruiting managers ensure that Job descriptions and Person specifications are not directly or indirectly discriminative. Person specifications must not contain the following:

- A set 'number of years’ experience. Instead the terms ‘demonstrable, proven or relevant experience’ can be used.
- The terms 'enthusiastic, dynamic or mature.'
- A requirement that the candidate have a driving licence and / or a car (unless this is an essential requirement of the post). As an example, if the candidate will be driving service users / patients around.

Should the resourcing team find that a potentially person specification ins discriminatory, they will remove the comments and confirm this to the Recruiting Manager.

2.3 Obtaining Approval to Recruit

The vacancy authorisation process is completed via the Trust Recruitment System, TRAC. To complete the online authorisation, you will need to login to the system. The first time you create a vacancy request, please contact the resourcing team who will support you through the process. A user guide is also available.

When you complete your vacancy request you will need to attach your Job description, Person specification, Advert and Occupational Health Risk Assessment form. It is important that you complete all the fields and ensure that a 'staging' approach is used when inputting your authorisers. This reduces any delays in your vacancy request being authorised. As a Recruiting Manager you will be able to view the status of your vacancy request by logging into TRAC.

It is important that only the Recruiting Manager inputs the vacancy request into TRAC. This will enable them to view all activity relating to the vacancy and will ensure they receive the weekly manager update report.

2.4 Writing the Advert

Your advert is your opportunity to engage interest from candidates. The aim is to attract both active and passive candidates. Passive candidates are content with their current role, but may be tempted by an opportunity that offers them development. To attract both sets of candidates, it is important you write an engaging advert.

You should therefore ensure you include the following information:

1. **Information on your service or department.** What is your specialism? What are the unique selling points of working in your service? It is important that you detail this.
2. **Information on the vacancy.** What are the key, essential requirements of the post? You should capture the salient points here, not the entire Job description. You should also include the desirable criteria.
3. **What are the benefits of working within your team?** As an example:
    i. What career or development opportunities are there?
    ii. Will the post allow the successful candidate to undertake a preceptorship?
    iii. Will access to a training course / qualification be included?
    iv. Are there rotations across other departments / services / wards?
4. **Interview date**. If you have an interview date in mind, it is helpful to include this.
5. **Contact details.** So that candidates can contact you to discuss the application, you should provide your contact details.
6. **Values and behaviours.** The successful applicant should demonstrate that they align with our core values. We want people who are caring, compassionate and committed to providing outstanding care. For

management and senior posts, we are also looking for evidence of leadership. Your advert should mention our commitment to providing excellent care.

Prior to publishing the advert on NHS Jobs and our Careers site, the Resourcing Team will check the advert and may amend it to ensure it is non-discriminative and complies with Employment Legislation. Terms mentioned under 2.2 must not be included within adverts.

2.5 From Authorisation to Advertising

Following your vacancy request being authorised by the relevant approvers, the Workforce Information team will allocate the post an ESR position number. This number is important as you will be unable to offer, start and subsequently pay any staff without this.

The vacancy request will then go through the following process:

1. The Job description and Person specification will be quality checked. Where the correct templates have not been used, the recruiting manager will need to update these.

2. The Job description, Person specification and Advert will be checked to ensure there are no discriminatory comments.

3. A redeployment check will be conducted. If there are staff who match the requirements of the post they will be sent the Advert and Job description in the first instance and have 5 working days to express an interest. You will be informed if this is the case.

4. If there are no staff on the Trust's redeployment register who match the requirements of the post, your advert will be placed on NHS Jobs and our Recruitment page with a standard closing date of 2 weeks unless a date or maximum number of applicants is specified on your vacancy request. Where you are aware that a particular post will attract large volumes of applicants, you should advise the Resourcing team to either advertise your post on NHS Jobs for a short period of time. Or, advertise your post on the Trust Careers site only for a longer period of time.

5. Your Resourcing Assistant will then be in contact with you to confirm that your vacancy has been advertised.

All vacancies will be advertised on the NHS Jobs website www.jobs.nhs.uk and our Trust Careers Site. In certain circumstances a post may also be advertised using the most appropriate means available e.g. specialist journal, publication, Job board, provided funding is available within localised budgets.
The HR Administration team will endeavour to keep employees on maternity leave informed of any vacancies within the Trust if the employee has requested this on their maternity application form.

2.6 Interview Panels

The banding of the post will determine the constitution of the interview panel. Panels for Band 8A posts and above will consist of a minimum of three panel members. The constitution of the Panel will also be dependent upon the function of the post to be filled and may also include an external representative from a Professional Body.

Interview panels for band 1-7 will consist of at least 2 panel members and normally this will be chaired by the recruiting manager. It is essential that one panel member must manage, or work in, the team where the post is being recruited.

As a minimum the Chair of the interview panel must have attended the Trust Values and Behavioural Based Interview Training. This 1 day course incorporates a section on Safer Recruitment and draws on good practice from the Francis Review, the Cavendish Review, the Saville Report and the Bichard Report.

This course can be booked via the education centre at Education.Centre@5bp.nhs.uk

Where appropriate it is good practice that one panel member works in an area/post that is relevant to the recruiting post but works outside of the service / department making the appointment.

If the post being advertised is Band 7 or above or a Medical graded post, a service user / carer must be part of the panel. The Recruiting manager must contact the Involvement Scheme Co-ordinator, within the Equality Diversity and Inclusion team to book their service user / carer.

2.7 Shortlisting

On the next working day after the vacancy has closed, the Recruiting manager must access the Trust Recruitment System TRAC to view and shortlist applications. To speed up the recruitment process, you should aim to shortlist within 3 days of the advert closing.

In line with the use of the 2 ticks 'positive about disabled people' symbol, if any applicant indicates that they have a disability and they meet the essential criteria laid out in the person specification then they must be short listed automatically.

If a large number of applicants meet the essential requirement the Recruiting Manager may shortlist further using the desirable requirements.

Once the Recruiting Manager has finalised the short listing online they will need to enter the interview arrangements onto the Recruitment System. This will trigger an automated email to the Resourcing Team who will then invite shortlisted applicants to book their interview slot online.

2.8 Overseas Applications

The Trust recognises that in order to implement the government's programme of reforms and to deliver a modern healthcare service it needs to expand the skills and numbers of its workforce. In order to do so, it may be necessary to recruit within a wider labour market to meet the shortfall in certain professions.

Applications are welcome from anyone eligible to work in the UK. A Work Permit will be required for applicants from outside the European Economic Area (EEA). The Trust will not be able to get a work permit for an applicant if the post can be filled by a UK or EEA resident. It is therefore unlikely that the Trust will consider applicants resident outside the EEA area if the post can be filled from within. Overseas candidates will be responsible for their own travel expenses incurred.

Please note you must not omit to shortlist a candidate due to their right to work in the UK status.

2.9 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/Non-Executive Director of the Trust in accordance with the ‘Code of Conduct’.

2.10 Confidentiality

It is essential that all staff involved in any stage of the Recruitment & Selection process treat information on applicants as strictly confidential.

It is the responsibility of the panel members to ensure that copies of applicant’s details including electronic versions are stored securely and confidentially whilst in their possession. At the conclusion of the selection process, the panel must ensure that all documents, including returning panel packs, questions asked at interview, presentation details and notes taken for each candidate interviewed, are returned confidentially to the Resourcing Team to be processed and stored in accordance with the Data Protection Act 1998.

Non-compliance will be escalated to the appropriate Assistant Director / Deputy Director for follow up action.

2.11 Interviews

Interviews must seek to assess candidates against both the Six C's, the Trust Values and the essential criteria for the post. All candidates should be given 5 days' notice for any interview. In some circumstances with discussion with the resourcing team, this may be less. Where there is a significant delay between candidates applying for the vacancy and the interviews taking place, this can result in quality candidates accepting a post elsewhere. In addition, you may find that your 'did not attend' percentages are much higher.

Prior to the interviews taking place the Recruiting Manager must download the application forms and interview schedule from the Recruitment System and contact the Resourcing team for a Values Based Interview Tool.

Please note candidates are able to book and cancel their interview at any time right up until their interview takes place, therefore the schedule must be checked online before the interviews to check if there have been any changes.

If a candidate is unable to attend the originally planned date of interview, the interviewing manager has the discretion to decide whether alternative arrangements will be made for this individual (taking into account the availability of the interviewing panel, urgency to recruit etc.).

Please note that if the candidate is unable to attend due to child-care responsibilities, a disability issue or even a religious holiday then you may be potentially discriminating if you do not take this into account.

It is important to make notes during the interview, the notes must reflect the answers provided and scored against the criteria.

2.11.1 Recruitment Assessments and additional Selection methods

In addition to a Values Based Interview, other assessment methods can be incorporated into the selection process, where appropriate. These can include scenario based exercises, in tray exercises, role plays, case studies and presentations.

It is important that all candidates are treated the same and the assessments are scored fairly and objectively. The Resourcing Team will provide support and guidance on the steps required when utilising tests as part of the selection process to ensure the Trust follows appropriate Information Governance procedures and Resourcing best practice.

2.11.2 Senior Leadership Roles

An enhanced selection process may be used for senior leadership roles. These roles include Heads of Service, Business Managers, Lead Medical

Consultants, Associate Medical Directors, Assistant Directors, Deputy Directors and Directors. Selection methods may include the following:

- Written supporting statement of evidence against the 5 Boroughs leadership competences
- On-line aptitude, ability and personality assessment (measuring motives and talents)
- A Values based interview with service-user representatives
- A presentation

Where appropriate, the Trust may work with specialist search consultants.

2.11.3 Presentations

If a presentation is to be used as part of the selection process you and the panel will need to decide on a presentation topic that will help to assess the candidates. For best practice the presentation must not last more than 10 minutes and you must match the topic to a key aspect of the post.

Candidates must all be given the same information brief and an indication of the purpose and expectations you have for the presentation. Instructions must include details of how long the presentation must last and guidelines of how much preparation time is involved. They must also be told what audio visual equipment is available to them.

If you are building any of the above into the assessment process you must have included these details on the Trust Recruitment System, TRAC when setting up the interview so that candidates are informed.

2.11.4 Interview Questions

Interview questions must seek to assess both the technical skills for the post and the values and behaviours of the candidates.

Interview questions must generally be the same for each candidate. However this does not prevent the interviewer from asking specific questions to probe or funnel further, or to address issues requiring clarification in the application.

All posts that involve contact with Children and Young People and Vulnerable Adults, require at least one safeguarding question to be asked. For further information on how/what questions to ask contact the Resourcing Team for further guidance and advice.

2.11.5 Scoring Candidates

You must use the **Candidate Interview Questions Assessment Form** to score each candidate, detailing responses to questions in the 'evidence column. Each question is assigned a mark from 0 to 5 based on the candidate's response and how this compares to the model answer. For example if the candidate covers all of the relevant areas in their answer they must be given a mark of 5 for that particular question.

0 = Question not answered
1 = Little evidence
2 = Insufficient evidence
3 = Acceptable answer
4 = Strong Answer
5 = Excellent, model answer

Prior to the start of the interviews the Panel must determine a benchmark i.e. a score below which candidates will not be appointed and apply this consistently through the interview process. However, where a candidate has a borderline score, consideration must be given as to whether with initial training, development and support the candidate may be able to perform the role.

Recruiting managers must note that as part of the introduction of Values Based Interview tools (VBI), the scoring model incorporated will rate questions on a scale of 1-4 as follows:

1 = Weak
2 = Development Need
3 = Competent
4 = Strong

It is the expectation that candidates are rated a minimum of a 3 on all the Technical and Values Based Interview questions.

Prior to using any Values Based Interview tool, Recruiting managers will be briefed fully on the new approach and must attend the one day Values Based Interview course.

2.11.6 Asking about Criminal Convictions

If the post is subject to a DBS check, you should advise level of check required and explain that due to the nature of the work within the Trust the post is exempt from the Rehabilitation of Offenders Act 1974 and they are required to declare prosecutions or convictions, including those considered 'spent' under this Act, unless these are covered by the Exceptions Order.

At the end of the interview, you must ask the candidate for their Declaration form. You must then check the form and ensure that the candidate has completed it in full and that it is signed. Where the candidate has answered any of the questions with a 'yes,' the Recruiting manager should:

- Ask the candidate to provide specific details around the nature of the declaration.

- Explore the reasons for the declaration and ascertain if there were any mitigating factors.
- Take note of any discussions on the declaration form.
- Confirm on the form whether you would like to investigate any instances recorded in further detail, should the candidate be offered.
- Thank the candidate for talking through the specific declaration.
- Confirm that the details of the declaration form will not impact on their overall interview score. However advise that should they be successful, any offer will be subject to the NHS Employment Check Standards, which might include a DBS check depending on the requirements of the post.

An internal candidate transferring to a post that requires a DBS must have one prior to commencing in post if they have not had one previously or if their existing DBS is not at the correct level.

2.11.7 Checks at Interview

At the interview it is important to outline and check:

- periods of notice (this can vary between bands / employers)

- what salary the candidate is currently on. Does this correlate with the application form? Please note that in most circumstances the candidate will start at the bottom of the salary scale – unless they are transferring from another NHS Trust and their salary is currently higher than the bottom increment. Should a candidate have significant, relevant non NHS experience which you feel should be taken into consideration, you should contact the Resourcing Manager or Resourcing Team Leader for advice

- employment history – managers are required to ensure that any gaps in employment history have been fully explained by the candidate and noted

- check the references stated on the application form cover the previous three years and match the candidate's last employers

- declaration form – if the candidate has answered yes to any of the questions on the declaration form the information provided must be explored at interview as mentioned earlier

- all qualifications required for the role need to be verified if the candidate has indicated they have attained them

- ask for a contact telephone number to ensure a speedy response is provided, so that feedback can be given as soon as possible.

2.11.8 Closing the Interview

Closing the interview must have three elements:

- the opportunity for the candidate to ask any questions they may have - remember the interview is a two-way process

- to make the candidate aware that if they are successful they will need to attend an ID check (ideally within 7 days). They will also need to complete their work health assessment form promptly. It is important they know that if they are working in a clinical area they will need evidence of their immunisations and vaccinations quickly. This is important to reduce delays at the pre-employment check stage

- explain how the candidate will be informed of the decision and indicate timescales.

2.12 Selecting the Candidate

Following the interview you will have identified your preferred candidate.

You must complete the following actions:

2.12.1 Successful Candidate(s)

- Login to the Trust Recruitment System, TRAC to complete the online successful candidate section.

- Scan and upload your interview notes into the Recruitment System TRAC.

- Explain to the successful applicant that the written offer letter subject to satisfactory pre-employment checks.

The Resourcing Team will send the conditional offer letter which will include details of the pre-employment checks required.

If for any reason the appointee doesn't take up the position you can go back to those who have met the benchmark in terms of the technical requirements of the post and the Trust values, and offer them the position. You can do this within three months as long as the details of the post **have not** changed.

2.12.1 Unsuccessful Candidates

At this stage you must contact those applicants who you know are not appoint able to advise them that they have been unsuccessful. You may want to consider having a reserve candidate if for any reason your preferred candidate does not accept the offer or you are not happy with their references. As per the above, your reserve candidate should be acceptable in relation to both the Trust Values and the technical requirements of the post.

In accordance with the Data Protection Act (1998), individuals have the right to access any personal information that is held about them by others. This includes interview notes, references, application forms etc. You must keep this in mind when making notes about individuals. Refer to the *Data Protection Policy* for further details. In addition, many unsuccessful candidates will often request feedback about their interview and application. A set of descriptive notes will help managers provide this feedback

2.13 Pre-Employment Checks

Appointing managers must satisfy themselves that the information the candidate gives throughout the selection process is authentic, consistent and honest.

The full list of checks are:

- Gaps in employment history
- DBS Check – for applicable roles. Please see DBS policy / procedure for more information.
- Occupational Health Check if required
- Proof of Professional Qualification if required
- Proof of Professional Registration if required (see Professional Registration Policy for more details)
- Right to Work Check
- Verification of Identity
- References.

Managers must not research candidate's personal details or background using social networking sites or search engines at any stage of the process.

2.13.1 Pre-Employment Checking Processes

The Resourcing team ensure that all candidates comply with the NHS Employment Check Standards. To ensure the safety of patients and staff, new starters cannot commence in post until all clearances are completed and satisfactory. All candidates must attend an ID check with the Resourcing team to ensure compliance against the right to work and proof of ID checks.

Once all the references have been received the Recruiting Manager must review them on the Trust Recruitment System TRAC and confirm if they are satisfactory or not. If the Recruiting Manager has any concerns they are to notify the Resourcing Assistant dealing with the vacancy.

If any of the other pre-employment checks require further investigation, then the Resourcing Team will liaise with the recruiting manager in the first instance.

2.13.2 Failure to Satisfy Pre-employment Checks

Concerns which may arise due to pre-employment checks:

Gaps in Employment

All applications must be fully completed prior to shortlisting. Incomplete applications must not be shortlisted.

Applications must show continuous employment / training history or be able to give full account of any gaps (e.g. study, career break, period of unemployment etc.).

Recruiting Managers are required to ask all shortlisted applicants at interview to explain any gaps in employment.

Where the applicant is unable to provide an account of any gaps, this may result in the offer of employment being withdrawn.

Disclosure and Barring Service

All posts that involve regulated activity require an enhanced DBS check in line with both NHS Employment Check Standards and the Care Act (2014). The level of patient involvement determines the level of disclosure. For example, an enhanced disclosure would be required for those working with children or vulnerable adults. If a disclosure is returned with a conviction, the recruiting manager will undertake a risk assessment to determine if the record will affect the application for the post.

Where a DBS risk assessment indicated that a candidate is unsuitable, the offer of employment will be withdrawn. It is important not to fairly discriminate, but also to safeguard patients. Where a previous conviction is felt to represent a risk to patients, the offer of employment is likely to be withdrawn.

Please see the DBS Disclosure Policy for more information.

References

References need to cover a minimum of 3 years. Where the applicant has worked for several employers during the past 3 years, references must be obtained for all of these. A minimum of 2 employment references are required, which must cover the last 3 years.

Where the last employer is an agency, a reference must be from the applicant's last substantive employer. In addition, references must be obtained from the end employer. An employee will not be recruited until satisfactory references have been received. Posts which involve working with children and/or vulnerable adults must indicate the candidates' suitability to work with these groups. Where a candidate is unable to provide satisfactory references, this may result in the offer of employment being withdrawn.

For internal candidates there is only a requirement to provide internal references, unless there is no evidence to demonstrate that external references had been sought previously.

Health Screening

Occupational health screening is carried out as part of the pre-employment check standards. All candidates must complete a work health assessment form. Where individuals are not passed fit for work the trust reserves the right to withdraw the offer of employment. The Trust must give due consideration to any reasonable adjustments.

Recruiting managers are responsible for completing an Occupational Health Risk Assessment form. This must be uploaded into their vacancy request on TRAC.

Professional Registration

For staff who are required to have professional registration there is a requirement to provide evidence of this prior to taking up appointment. The original certificate must be presented at interview and to the Resourcing Team prior to taking up the post. The Resourcing Team will carry out a check directly with the appropriate professional body, and will inform the Line Manager of whether the individual is registered or not. If the candidate is not registered or issues are identified in relation to their registration, this may result in the withdrawal of offer.

It is a contractual term that the employee must maintain their registration throughout their employment. For further guidance please refer to the Professional Registration Policy and Procedure.

Proof of Qualifications

Where qualifications are a requirement for the post, the successful candidate must provide proof of qualifications prior to taking up appointment. The original certificates must be presented and photocopied at interview and the photocopy sent to the Resourcing Team prior to taking up the post.

Right to Work

All candidates must be able to provide documentary evidence of their right to work in the UK/EEC, with the required evidence. The original documentation must be presented at interview and also seen by the Resourcing Team prior to taking up the post. If a candidate is unable to prove their right to work in the UK/EEC the offer of employment may be withdrawn.

Dependant on the cause for concern, the recruiting manager might:

- Withdraw the conditional offer

- Continue as planned
- Speak to the candidate to address any issues

Managers must contact the Resourcing Team if they require any support when considering the most appropriate course of action.

In all cases where an offer is to be withdrawn the reasons must be discussed with the Resourcing Team first.

In all cases the candidate will be advised in writing if there are any concerns about their pre-employment checks.

2.14 Arranging Start Date

Once the Recruiting Manager and the Resourcing Assistant are satisfied that all pre-employment checks have been received and there are no issues of concern, Managers must then contact the candidate and arrange their start date. If the new starter will be working on an inpatient ward, their first day of employment must coincide with the Trust Conflict Resolution Training.

The Recruiting Manager must then advise the Resourcing Team so that they can confirm the start date and arrangements for the first day in writing enclosing their written statement of terms and conditions of employment (the contract).

The Resourcing Assistant will also send the Recruiting Manager an ESR 1 form which must be completed on the new employee's first day of employment with the Trust.

2.15 Induction

Following the appointment, you have a number of key tasks to complete in readiness for the new employee.

- Check that other staff know who is appointed and when they will start (Team Brief/departmental meetings, etc.)

- Ensure that the new member of staff has stationery/desk/locker/PC/E-mail address etc. or whatever they need to feel expected and welcome on the first day.

- Using the evidence collected during the recruitment process about the new employee make appropriate plans to ensure that any developmental needs are addressed. It is good practice to give the new employee feedback from the interview and other selection tools used. Explain to them what they did well so that they are encouraged to continue with those behaviours. Then motivate them to improve in any appropriate areas by explaining how you plan to help them develop.

- Complete the ESR1 form and email to electronicesr.forms@5bp.nhs.uk

  Please note it is the responsibility of the Recruiting Manager for ensuring the ESR 1 form is completed including the commencing salary if the new employee is starting at a pay point higher than the minimum of the band.

  You must also complete the Trust's local induction with the new starter and once completed, send a copy of the induction to the Education Centre for auditing.

3. Monitoring of Compliance with this Procedure

Minimum requirements to be monitored	Process for monitoring e.g. audit	Responsible individual, group or committee	Frequency of monitoring	Responsible individual, group or committee for review of results	Responsible individual, group or committee for development of action plan	Responsible individual, group or committee for monitoring of action plan
Compliance of all new starters against the pre employment checks	Audits via TRAC	Individual	Monthly	Resourcing Team Leader	Resourcing Manager	Resourcing Manager

4. References

Recruitment and Selection Policy
NHS Employment Checks Standards
Disclosure and Barring Service Code of Conduct
Professional Registration Policy and Procedure

5. Associated Documents

Recruitment and Selection Policy
Disclosure and Barring Service Policy and Procedure
Professional Registration Policy and Procedure

6. Appendices

Appendix 1

1. Introduction

Pre – Employment Checks

This document has been produced following best practice guidelines as laid down by NHS Employers 'Employment Check Standards'.

2. Purpose

This document applies to all employees of the Trust and is also applicable to the recruitment and selection of new members of the Trusts Nurse Bank Register, and is designed to ensure that all persons commencing employment with 5 Boroughs Partnership NHS Foundation Trust, are trustworthy and reliable.

To ensure a safe recruitment procedure the following checks listed in this document must be carried out before any candidate is unconditionally offered a position within the Trust.

3. A Systematic Approach to Employment Checks

Pre Appointment

All pre appointment checks are undertaken prior to commencement in employment:

- Verification of Identity
- Qualifications
- Right to work in the UK checks
- Professional Registration
- Criminal Records Bureau
- Alert Letters
- References
- Medical clearance – where applicable

Post Appointment

- Alert Letters (undertaken as and when received)
- Professional Registration
- Occupational Health Checks as required under the Managing Attendance Policy
- Right to work checks

4. PROCESS FOR MONITORING

Employment Services record the outcome of all pre and post appointment checks which are required using the Electronic Staff Record (ESR). The date on which they have been undertaken and received is also recorded.

5. PROCEDURES & RESPONSIBILITY FOR UNDERTAKING PRE AND POST APPOINTMENT CHECKS

The recruiting manager is responsible for ensuring that the following checks are made during the interview and for recording the information on the interview scoring sheet which is submitted to the Resourcing team. In the event that the recruiting manager is unable to verify any of the documents during the interview, all successful candidates are required to attend a pre-employment appointment to ensure that we have verified and taken copies of the following original documents:

- Verification of Identity – see appendix 1 for guidance
- Qualifications
- Right to work in the UK checks – see appendix 1 for guidance
- Professional Registration

ESR is utilised to alert the Resourcing team if a post appointment check needs to be reviewed.

The following checks will be carried out within HR.

5.1 Work Permits/Visas

5.1.1 Pre Appointment

Prior to shortlisting, applications will be pre-screened by Employment Services to remove any applicants who are not eligible under the Immigration regulations to be appointed to the post.

For medical staff appointments, prior to the interview, Medical HR will check the General Medical Council (GMC) registration a medical staffing representative will attend the interviews, check the original documents and take copies of the relevant documents for inclusion on staff personal files.

For all staff appointments, the Interview Panel Chair is responsible for undertaking these checks. The Interview Panel Chair must complete the candidate assessment form to record the documents confirming the identity, qualifications, work permit/visas and registration. This document must be returned to Employment Services.

Where a non EC national is appointed to the post and requires a work permit, Employment Services will submit an application to the Home Office within 3 days of the appointment being offered (to avoid delays in commencement in post).

The recruiting manager will advise the new appointee to bring their original passport on their first day of employment to validate the appointee's identity and right to work.

5.1.2 Post Appointment

Resourcing/Medical HR for medical appointments, will make a note of the expiry date of the work permit/visa and advise Workforce Information in order to ensure action for an extension of work permit/termination of contract is taken at the appropriate time.

The HR & Organisational Development Directorate maintains a record of expiry dates of work permits/visas.

5.2 Disclosure and Barring Service (DBS)

5.2.1 Pre Appointment

Posts are assessed using a DBS Requirement – Request To Recruit Approved Posts form. For further information, refer to the Criminal Records Bureau Policy.

The Resourcing team initiates the process for DBS checks in line with the Trust's DBS Policy.

The Resourcing team will initiate the completion of the DBS disclosure form, and on receipt will ensure that any disclosed information is brought to the attention of the Resourcing Manager.

5.3 Alert Letters, GMC and Nursing and Midwifery Council (NMC) Registration

5.3.1 Pre Appointment

Alert letters, GMC and NMC registrations are recorded with the Medical HR and Resourcing team. The names of all shortlisted candidates are checked against these lists before the candidates are invited to interview. Any notifications received which match an applicant who has been shortlisted for interview will be brought to the attention of the Resourcing Team Leader or Resourcing Manager.

5.3.2 Post Appointment

Alert letters and GMC/NMC notifications received by Medical Staffing and the Resourcing team are checked against the ESR database.

Any notifications received which match a current employee must be brought to the attention of a member of the HR team. The notifications, once processed by Workforce Information, are passed to the Medical Staffing and the Resourcing team.

5.4 References

5.4.1 Pre Appointment

References will only be sought for the preferred candidate(s) following the interview. The Interview Panel Chair must advise the Resourcing team of their preferred candidate(s).

An offer letter cannot be issued by the Resourcing team until references are received.

However, for medical appointments, a conditional offer is made, by Medical HR, prior to references. The offer of appointment is made subject to suitable references, medical screening, DBS, professional registration and employment history.

References are obtained from at least two most recent employers and a minimum of 3 years previous employment and/or training must be checked. References must cover the preceding three years of employment. If references do not cover the preceding 3 years for those applicants that attend interview, then it is the responsibility of the Panel Chair to ensure that further referee(s) are provided to cover the full period of time. If the applicant is applying from full time education, references must be sought from the school, college or university.
The Trust reserves the right to seek additional references, with the candidates consent.

The Interview Panel Chair must ensure that they have checked the suitability of the referees and confirm this by completing the Candidate Interview Assessment Form. This form can be found in the Recruitment and Selection Procedures.

The Trust has a standardised form for obtaining references that is used for all posts.

5.4.2 Post Appointment

Copies of references will be kept on the personal file.

References may only be supplied by staff with a formal managerial/supervisory relationship with the reference subject who will therefore be able to make assessment of job related competence and personal qualities.

5.5 Occupational Health

5.5.1 Pre Appointment

Due to the implementation of the Equality Act (2010), it is now unlawful for employers to ask about the health of applicants before offering work to an applicant. For example, it is not permissible to ask questions specifically how many days sickness they have accrued during their previous employment prior to the candidate being made a conditional or unconditional offer of work. Successful candidates are asked as part of your conditional offer of employment with the Trust, to declare if you have a medical condition(s) which may impact on their role and necessitate reasonable adjustments by completing a New Employee Health Questionnaire. In addition, the recruiting manager is responsible for completing a risk identification document to assess if there any risks associated to the job which will require an automatic assessment with Occupational Health.

5.5.2 Post Appointment

Where managers are concerned about the health of an employee, the Trust's Managing Attendance Policy must be followed.

5.6 Professional Registration

5.6.1 Pre Appointment

Non-medical staff – a check that appropriate registration is held is undertaken by the Resourcing team prior to the offer of employment being confirmed. The Recruiting Manager must request new employees to bring evidence of their professional registration certificate on their first day of employment to verify registration.

Medical staff – A check that appropriate registration is held is undertaken by Medical HR prior to the offer of employment being confirmed. Medical HR request new employees to bring professional registration certificate on first day of employment to verify registration.

5.6.2 Post Appointment

Maintenance of registration after appointment resides with the manager and the employee to ensure relevant registration is kept up-to-date.

Professional registration expiry dates are monitored by Workforce Information. Expiry dates are highlighted and checked in advance of the date by Workforce Information and notification sent to the Lead Medical Consultant/Head of Service.

Please see the Professional Registration Policy for more details.

6. Systems in place to follow up those who fail to satisfy the checking process

Proposed employees will not be allowed to commence in post until all checks have been satisfactorily completed. If at any stage of the process there is a cause for concern then the recruiting manager must speak with a HR representative to look into the matter in more detail.

This might include:
- A poor reference – if this is sickness related, it is important that you gain advice from the Resourcing team leader or Resourcing Manager.
- An issue with the OH report
- Concerns on a DBS check

Dependent on the cause for concern, the recruiting manager might:
- Withdraw the conditional offer
- Continue as planned
- Ask to speak to the individual to address any issues

7. System in place to ensure the organisation is alerted if a situation arises which might affect employment status

Alert letters and GMC/NMC notifications received are checked against the PRIME database. Where an existing employee is identified as being the subject of an Alert Letter or GMC/NMC notification a HR representative must be consulted.

8. Agencies

8.1 Non Medical Staff

Only external agencies on the National Framework Agreement can be used, the agencies on the national contract are required to undertake pre-employment checks in line with 'NHS Employers Best Practice Guidelines'.

Only Clinical Agencies are obliged to ensure a satisfactory DBS less than 12 months old is in place for clinical agency workers. Non-clinical Agencies are not obliged to undertake DBS checks. Refer to the DBS Policy for the process concerning clinical and non-clinical agency workers.

8.2 Medical Staff

The Trust will use only agencies who signed up to the GPS national Framework
and who are therefore subject to the standards set out in the NHS Executive Code of
Practice.

The Trust is furnished with CVs of the agreed format, including dates, which will include the following information:

- Full name as in the Medical Register
- Date of Birth
- GMC/GDC registration number with summarised details of:
- Any limited registration
- Any pending GMC proceedings (if known to the agency)
- Registerable and additional registerable higher qualifications
- The names and addresses of at least two referees (with a copy of the references made available). At least two references must relate to relevant employment during the preceding six months and must be satisfactory, in addition to the identification of, and reference from, their current/most recent employer and reference from employment held in substantive posts during the last two years.
- Completed declaration regarding criminal investigations
- Completed declaration regarding fitness to practice proceedings
- Completed medical questionnaire, health declaration form and

Hepatitis B certificate (either originals or first copies of originals).
• Details pertaining to work permit/visa (if applicable) with commencement and expiry dates – to include details of whether the work permit/visa is primarily assigned to the locum doctor being put forward or their spouse
• Evidence of the last 12 months DBS disclosure checks having been undertaken where applicable
• Verification of identity checks are undertaken on the first day of work by the appropriate manager/supervisor
• DBS check less than 12 months old in place

Guidance on Verifying Identity

Appendix 1

It is important that the identity of a prospective employee is reliably verified before he/she is appointed. The documents that must be checked to establish a person's identity are the following:

- Valid passport – any nationality
- UK Driving License – England/Wales/Scotland; either photo card or paper. A
photo card is only valid if accompanied with the counterpart license
- UK Driving License – England/Wales/Scotland; either photo card or paper. A
photo card is only valid if accompanied with the counterpart license
- UK Birth Certificate (original only issued within 12 months of birth)
- Valid photo identity card (EU countries only)
- UK firearms license
- HM Forces ID card

The safest way to check an applicant's identity is to view two documents from the above list or one document if it is a passport or photo driving license. If the candidate can only provide one of the above documents, and it is not a passport or a driving license, then it needs to be accompanied by two documents from the list below. If the applicant does not have any of the documentation from the above list, it is recommended that they provide five documents from the list below.

- Marriage certificate
- UK birth certificate (original)
- UK birth certificate (original)
- UK P45/P60 statement - Issued within the past 12 months
- Bank or building society statement - Documentation must be less than three months old and must have their current home address on
- Utility bill (electricity, gas, water, telephone (inc mobile phone contract / bill) - Documentation must be less than three months old and must have their current home address on
- TV License
- Credit card statement - Documentation must be less than three months old and must have their current home address on
- Store card statement - Documentation must be less than three months old and must have their current home address on
- Mortgage statement - Issued within the past 12 months
- Valid insurance certificate
- A document from UK central/local government / government agency / local authority giving entitlement: examples include documents from the Benefits Agency, the Employment Service or the Inland Revenue

- Financial statement, for example pension, endowment, ISA - Issued within the past 12 months
- Valid vehicle registration document and must have their current home address on

- Mail order catalogue statement - Documentation must be less than three months old must have their current home address on
- Court claim form (documentation issued by Court Services) - Issued within the past 12 months
- Court claim form (documentation issued by Court Services) - Issued within the past 12 months
- UK NHS card
- Addressed payslip - Documentation must be less than three months old and must have their current home address on
- National Insurance number card
- Exam certificate, for example GCSE, NVQ
- Child Benefit book – child allowance - Issued within the past 12 months
- Connexions card
- Certificate of British Nationality
- Work permit / Visa - Issued within the past 12 months

Guidance on checking documentation

Always check for signs of interference. Always query any document if it looks as though it has been tampered with. Take special notice of the name and photo area.

Passport (UK or overseas)

- Check the general quality and condition of the passport
- Accidental damage is often used to hide signs of tampering
- Closely examine the photograph for signs of damage to the laminate or for excessive glue or slitting of the laminate. This may indicate that the photo has been swapped
- Check to see if the photo is excessively large. This may indicate that the photo has been used to hide another
- Ensure that there is no damage to the embossed strip embedded into the laminate; this must also catch a portion of the photograph
- Examine the license carefully looking for any adjustments
- Ensure that there has not been any amendment to the printed details

Old style driving license (no photograph)

- Remove from the plastic wallet and check it is printed on both sides
- When held to the light it must have a visible watermark
- Ensure there are no punctuation marks in the name or the address
- Ensure the valid-to date is the day before the owners 70th birthday (if the owner is over 70 this does not apply.

Birth Certificates

• NHS Employers recommends using only the original birth certificate, as copies can be easily obtained
• Genuine birth certificates use high grade paper – check the quality of the paper
• When held to the light there must be a visible watermark
• Any signs of smoothness may indicate that original text may have been washed away
• Ensure there are no signs of tampering, changes using correction fluid, overwriting or spelling mistakes

Documents confirming right to work in UK

When checking if an applicant has the legal right to work in the UK, you must ideally use one document from the list below.

• A passport showing that the holder is a British citizen, or has a right to live in the
UK
• A document showing that the holder is a national of a European Economic Area country or Switzerland. This must be a national passport or national identity card
• A residence permit issued by the Home Office to a national from a European
Economic Area country or Switzerland
• A passport or other document issued by the Home Office which has an endorsement stating that the holder has a current right of residence in the United Kingdom as the family member of a national from European Economic area country, or Switzerland, who is resident in the UK
• A passport or other travel document endorsed to show that the holder can stay indefinitely in the UK, or has no time limit on their stay
• A passport or other travel document endorsed to show that the holder can stay indefinitely in the UK, or has no time limit on their stay
• A passport or other travel documents endorsed to show that the holder can stay in the UK; and that the holder can do the type of work you are offering if they do
have a work permit
• An Application Registration Card issued by the Home Office to an asylum seeker confirming that the holder is permitted to take employment

If the applicant is unable to produce one of the above documents, they can produce either of the two combinations below. However, you cannot mix the two combinations together.

• A document giving the person's permanent National Insurance number and name. This could be a: P45, P60, National Insurance card, or a letter from a government agency along with checking and copying a document giving the person’s National Insurance number, you must also check and copy only one of the following documents:

- An original full birth certificate issued in the UK, which includes the names of the holder’s parents; OR
- An original birth certificate issued in the Channel Islands, the Isle of Man or Ireland; OR
- A certificate of registration or naturalisation stating that the holder is a British citizen; OR

- A letter issued by the Home Office to the holder which indicates that the person named in it can stay indefinitely in the UK, or has no time limit on their stay; OR
- An Immigration Status Document issued by the Home Office to the holder with an endorsement stating that the person named in it can stay indefinitely in the UK, or has no time limit on their stay; OR
- A letter issued by the Home Office to the holder which indicates that the person named in it can stay in the UK, and this allows them to do the type of work you are offering; OR
- An Immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the person named in it can stay in the United Kingdom, and this allows them to do the type of work you are offering

A work permit or other approval to take employment that has been issued by Work Permits UK, together with a document issued by Work Permits UK, you must also check and copy one of the following documents:

A passport or other travel document endorsed to show that the holder is able to stay in the UK and can take the work permit employment in question; OR A letter issued by the Home Office to the holder confirming that the person named in it is able to stay in the United Kingdom and can take the work permit employment in question.