

# Recruitment Policy & Procedure

Policy number:	HR08
Version:	Version 1
Responsible Director:	Chief Officer
Name of originator/author:	Becky Brewer
Last review date:	June 2017
Next review date:	June 2020
Date agreed by Rem Comm Committee	30 <sup>th</sup> June 2017

## Summary

This Policy is written to ensure that Surrey Downs Clinical Commissioning Group (CCG) places great importance on maintaining high standards of recruitment and selection for all internal and external applicants and candidates. This policy provides a fair and objective process to ensure that everyone is treated in a fair and consistent manner through recruitment, selection and appointment to SDCCG.

## Version History

Version Number	Review Date	Name of Reviewer	Ratification Process	Notes
1.0				

## Equality Statement

Surrey Downs Clinical Commissioning Group (Surrey Downs CCG) 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. It takes into account the Human Rights Act 1998 and promotes equal opportunities for all. This document has been assessed to ensure that no-one receives less favourable treatment on grounds of their gender, sexual orientation, marital status, race, religion, age, ethnic origin, nationality, or disability.

Members of staff, volunteers or members of the public may request assistance with this policy if they have particular needs. If the person requesting has language difficulties and difficulty in understanding this policy, the use of an interpreter will be considered.

Surrey Downs CCG embraces the four staff pledges in the NHS Constitution. This policy is consistent with these pledges.

## Equality Analysis

This policy has been subject to an Equality Analysis, the outcome of which is recorded below.

		Yes, No or N/A	Comments
1.	Does the document/guidance affect one group less or more favourably than another on the basis of:		
	• Race	No	
	• Ethnic origins (including gypsies and travellers)	No	
	• Nationality	No	
	• Gender	No	
	• Culture	No	
	• Religion or belief	No	
	• Sexual orientation including lesbian, gay and bisexual people	No	
	• Age	Yes	Age restrictions in place do to insurance purposes and law.
	• Disability - learning disabilities, physical disability, sensory impairment and mental health problems	Yes	Reasonable adjustments must be exhausted first.
2.	Is there any evidence that some groups are affected differently?	No	
3.	If you have identified potential discrimination, are there any exceptions valid, legal and/or justifiable?	Yes	
4.	Is the impact of the document/guidance likely to be negative?	No	
5.	If so, can the impact be avoided?	N/A	
6.	What alternative is there to achieving the document/guidance without the impact?	N/A	
7.	Can we reduce the impact by taking different action?	No	

For advice in respect of answering the above questions, please contact the Corporate Office, Surrey Downs CCG. If you have identified a potential discriminatory impact of this procedural document, please contact as above.

Names and Organisation of Individuals who carried out the Assessment	Date of the Assessment
<i>Becky Brewer</i>	<i>24<sup>th</sup> May 2017</i>
<i>Pollymarch Mather</i>	

# Recruitment Policy & Procedure

## 1. Introduction

- 1.1 This policy sets out the principles and procedures which apply to the recruitment selection of staff. Surrey Downs CCG must comply with all current and relevant legislation and equality legislation to ensure that there is no unlawful discrimination and that recruitment and selection processes are fair and consistent.

Efficient and effective recruitment and selection practices create a positive image for the CCG and will enable us to attract the best quality staff, in the right numbers and with the right skills, knowledge and experience to provide a high quality service; supporting our goal of becoming an “Employer of Choice”

## 2. Purpose and Scope

- 2.1 This policy applies to the recruitment and selection of all employees of the CCG except the following:-
- Clinical Leads appointments – Please follow Clinical Lead recruitment process (Appendix H)
  - Interims/Contractors (via a third party) – Please follow policy number HR37 Interim Guidelines
  - Executive
- 2.2 This policy does not form part of an employee’s contract of employment, and it may be amended at any time. The CCG may also vary any parts of this procedure, including any time limits as appropriate.

## 3. Duties

### Human Resources

- 3.1
- > To ensure that all necessary employment checks are completed (either pre- or post-employment) and that the CCG complies with both legal standards and best practice guidance.
  - > To ensure that all information collected in relation to employment checks is appropriately recorded and stored in line with both legal requirements, such as Data Protection Act and best practice.
  - > To provide expert advice to the CCG and to seek relevant guidance from external agencies with regards to any additional support that may be required in determining and delivering the appropriate level of employment checks.
  - > To provide expert advice on the appropriate action to be taken with when employment checks are either failed or have the potential to be unsatisfactory.

- > To administer all employment checking processes in such a way as to minimise the opportunity for bias, intentional or otherwise, and to promote Equality and Diversity throughout these processes.
- > To maintain all information systems related to employment checks.

### **Managers**

- 3.2
- > To ensure that new employees have been recruited appropriately in accordance with this policy and all pre-employment checks have been undertaken as appropriate prior to commencement of employment.
  - > To take responsibility and accountability for employees who commence employment prior to the completion of their pre-employment checks. This may include a risk assessment of the individual coming into post. A risk assessment would be carried out if there is a potential risk to the CCG which can be demonstrated to be justifiable: e.g. employee starting employment without a DBS check.
  - > Managers should also fully utilise available technology to assist with the process of recruitment: e.g. fully using the capabilities of NHS Jobs.

### **Applicants and Employees**

- 3.3
- > Provide the CCG with timely and accurate information for requested employment checks.
  - > Ensure that professional registration is maintained, as appropriate.
  - > Advise their line manager of any change to their circumstances with regard to any of the information referenced in this policy. This includes informing their line manager should they be charged with an offence, or if their status with regard to the above checks changes during their employment.

## **4 Recruitment Procedure**

- 4.1
- Before embarking on the process of recruitment, the relevant line manager must ensure that a Vacancy Request Form (Appendix A) is raised. Every post, without exception, must have a written job description listing the main duties and responsibilities. Any existing job description for a particular post must be reviewed by the recruiting manager and, if necessary, amended to take into account of any changes in the role.
- The job description not only describes the objective and purpose of the job, but also provides a framework of line responsibility and key tasks. It enables staff to have a clear overview of the key elements of their role, as well as how their job relates to the organisation's structure, strategy, objectives and goals.
- Each post must have a person specification, setting out the experience, skills, abilities and qualifications required by the post holder. Any person specification which already exists for a particular post must be reviewed, taking full account of the job description. When writing the person specification, the recruiting manager must specify which aspects of the criteria are "essential" or "desirable". The shortlisting and interviewing panel members

must be familiar with the content of the person specification, as this will be the tool that they use in the selection process.

The Recruiting Manager must ensure that the job requirements and criteria are phrased correctly in order to comply with relevant legislation and good practice relating to diversity and equal opportunities.

#### 4.2 **NHS Job Evaluation Scheme**

All new posts or posts that have changed significantly in responsibility or duties must be evaluated using the National NHS Job Evaluation Scheme prior to advertising the post. Please send HR a copy of the reviewed document and allow up to 10 days for an outcome.

#### 4.3 **Advertising**

All posts should be advertised online via the NHS jobs website in the first instance. The recruiting manager will need to complete an advert form and provide this to HR electronically with the Job Description to allow a vacancy to be published. (Appendix G)

Vacancies can also be placed in external publications, but with a link re-directing applicants to the NHS job system; an offline application form can be completed should this be required. (Appendix B).

The use of CVs and other methods of application will normally only apply in cases where reasonable adjustments are required for applicants with particular disabilities; where the use of the standard processes would be difficult or place them at a disadvantage.

The advertisement should provide a good and concise overview of the role and the organisation. In addition, for planning purposes it is good practice for the advertisement to provide prospective candidates with an indication of dates for the selection process. Where possible, the interview dates should be advertised with the role. A guide to recruitment methods and associated bandings are outlined in Appendix F.

#### 4.4 **Short-Listing**

All personal details should be removed from the application form prior to shortlisting, in line with equality and diversity regulations.

Short listing must be carried out by the recruiting manager, using only criteria identified in the agreed person specification for the role. A short listing pro-forma (Appendix C) will need to be completed.

The recruiting manager should be the line manager for the post being recruited to, where possible.

The selection process must be fully documented and written records must be kept securely by the HR function.

#### 4.5 **Assessment**

For some vacancies, assessment tools may be used (i.e. psychometric/aptitude testing, role playing or team exercises).

The line manager should work in conjunction with the HR function to ensure that fairness and consistency of testing applications are used.

4.6

### **Interview Panels**

Interview panels will consist of a minimum of two people, maximum of four people, at least one of which should be the line manager of the vacant post. Interview panels must be kept consistent where possible if interviews for the same position fall on split days.

It is the responsibility of those involved in the recruitment and selection process to ensure that they have received appropriate training to do so. Members of the HR function are available on request to support managers at interview.

A record of every recruitment interview must be made including a closing summary (Appendix D)

Unsuccessful candidates will be advised verbally or in writing by the recruiting manager or via the recruitment agency as soon as is practicable following the outcome of the interviews.

4.7

### **Offer of Employment: Pre Employment Checks**

On no account should any firm or final job or salary offers be made during or at the end of an interview. The HR function will make all final and formal offers of employment. This is to ensure that terms and conditions and processes are adhered to and are consistent across the organisation, and that the candidate is absolutely clear. An Appointment Form will need to be raised to ensure all the correct information relating to the offer is documented (Appendix K).

All applicants deemed as successful at interview will be subject to a number of pre-employment checks, determined by the post for which they have applied. Where an applicant is an existing employee of the CCG, their pre-existing employment checks will be deemed as adequate unless their new and existing posts are substantially different. These may include:-

- Identity Check
- Eligibility to work in the UK
- Occupational Health Clearance
- Disclosure and Barring Service (DBS)
- Professional Registration
- Qualifications
- References and employment history

Checks that are undertaken will be those deemed relevant and appropriate for the role.

Failure by an applicant or employee to provide accurate information in a timely manner is a serious matter. Where it is found that an individual had declared inaccurate information it may disqualify them from appointment, or result in disciplinary action being taken should the appointment have taken place based on inaccurate, withheld or fraudulent information.

Agency workers and contractors will be subject to the same requirements with regards to checks as other applicants, although these checks may be completed by a third party. Where this is the case, the CCG will require evidence that the necessary checks required by this Policy have been completed.



#### 4.8 **Identity Checks**

The CCG is required to ensure that any applicant or employee asserting an identity is legally entitled to that identity.

Identity is established through the verification of key documentation and pre-employment checks and will require photographic identification to be provided to ensure that verification can be established by an independent party, such as the recruiting manager or HR.

#### 4.9 **Eligibility to Work in the UK**

To be eligible for employment at the CCG an applicant or employee must hold appropriate evidence of their Right to Work. The nature of this evidence will depend on their nationality in line with Home Office Guidelines.

The CCG is required to hold a copy of this evidence and can request to see this at any time during the individual's employment with the CCG.

If eligibility cannot be established then an application of continuance of employment will need to be considered by the CCG.

#### 4.10 **Occupational Health Clearance**

The CCG is responsible for health, safety and welfare of its staff. All new staff may need to have a pre-employment health check to assess their fitness to perform a specific role. Reasonable practical steps will be taken to accommodate individuals with significant health conditions or disability in line with the Equality Act 2010. Where reasonable adjustments cannot be made the CCG may withdraw an offer of employment.

#### 4.11 **Disclosure and Barring Service (DBS)**

The DBS is a government agency responsible for providing information "disclosures", to employers with regards to the past criminal record of an individual. There are two levels of DBS checks:

- Standard – contains details of both spent (old) and unspent (current) convictions, including cautions, reprimands and final warnings held in England and Wales on the Police National Computer (PNC). Most of the relevant convictions in Scotland and Northern Ireland may also be included. From October 2009, this level of check can no longer be used to obtain any information held on the Independent Safeguarding Authority's (ISA) barred lists for working with children and/or vulnerable adults. Where the duties of the position meets the criteria for regulated activity, employers must apply for an enhanced DBS check and request clearances against the relevant barred lists
- Enhanced – contains the same information as a standard check but also includes any non-conviction information held by local police, where they consider it to be relevant to the post. This information is referred to as "approved information" on the enhanced check certificate. In a small number of cases, the enhanced DBS check may also include additional non-criminal record information from the local police where this is thought necessary in the

interests of preventing or detecting crime. This will be addressed separately to the employer only. The employer's version of the certificate will indicate additional information is being provided under separate cover.

The Children's and Vulnerable Adults list, which identifies those who are barred from working with children of vulnerable adults, has replaced the POCA and POVA check system. Please refer to Disclosure and Barring Policy (HR 30)

#### 4.12 **Professional Registration Checks**

For specific posts, professional registrations will be required. This covers all role such a professional registrations ie: General Medical Council (GMC), Nursing Midwifery Council (NMC), General Pharmaceutical Council (GPHC), Health and Care Professionals Council (HCPC)

The CCG extends the requirement for professional registration to staff in non-clinical staff groups as defined by the organisation. This includes but may not be limited to the following:

- Finance
- HR

This information is logged in the ESR system.

#### 4.13 **Qualifications**

Many posts within the CCG, particularly at a senior level, will ask for applicants to hold professional or academic qualifications. Where this is the case, individuals will need to provide evidence that they have the appropriate qualifications to undertake the post, either at interview or at the point of attainment.

#### 4.14 **References and employment history**

The CCG uses references from previous employers (or academic organisation where appropriate) to verify the suitability of applicants for the post to which they have been appointed following the interview process.

#### **New Entrants to the NHS**

4.15 Successful applicants new to the NHS will normally commence employment with the CCG at the lowest incremental point in the band for that post. To appoint applicants at a higher pay point within the band will require agreement between HR and the recruiting manager, and signed off by the relevant Head of Service.

#### 4.16 **Induction**

Recruiting managers are responsible for ensuring that all newly appointed employees have undertaken, or are booked onto, the CCG's Induction Programme. As inductions are held on a bi-monthly basis, recruiting managers are responsible for ensuring that a First Day Checklist (Appendix E) is completed on the first day.

4.17

### **Post-employment Checks**

The CCG has the responsibility to continue to ensure that its employees have the necessary checks that enable them to continue within their post. The procedures below set out the checks that will be undertaken on existing employees to ensure that this is the case.

4.18

### **Right to Work**

Annual checks will be undertaken by the CCG with support from HR on all staff who hold temporary rights to work in the UK to ensure that all documents are in order.

Employees have a duty to inform the CCG of any change to their right to work status. If an employee fails to inform the CCG of a change of right to work, which prevents them from working, the individual will be advised that they must stop work immediately. The line manager of the individual must inform HR and pay will be stopped.

When an individual's temporary right to work is reaching its expiry date, line managers will write to the individuals three months in advance of the expiry date, requesting that they provide evidence that they are entitled to continue working in the UK.

If the employee does not provide evidence of their right to continue working before the expiry of their current arrangement then their pay will be stopped, and they will be asked to stop working for the CCG until evidence can be provided.

4.19

### **Work experience**

As a CCG we provide the opportunity to support work experience. Any individual must be aged 16 or above, and if they wish to be considered will need to confirm their intention in writing to the HR department. Work experience placements, are usually, one to two weeks in length; HR will be able to confirm the areas that can support work experience and will liaise with the most appropriate Head of Service to arrange a full itinerary.

4.20

### **Retention**

To ensure that we effectively manage our retention within the CCG, we carry out a number of proactive activities. Some of those included TOIL, flexible working, and job share arrangements.

4.21

### **Staff Engagement Survey**

Annually, we carry out a Staff Engagement Survey to allow all employees to provide feedback across a number of key areas; their individual's role, the organisation, training and development etc. Action plans are then put in place, following analysis of the data, through the Staff Forum, Heads of Service and Executive leads.

4.22

### **HR Dashboard**

HR present a Quarterly HR dashboard, specifically for discussion at the Remuneration and Nomination Committee meeting that focuses on key areas such as absence levels, attrition levels, training and appraisals.

This data provides an opportunity to highlight areas that need to be addresses, or managed more closely which can improve our overall retention opportunities.

#### 4.23 **Exit Interviews**

For any individual leaving the CCG, two exit interview are carried out; one by the line manager and a second independent interview by HR. This information is used to ensure that we have a clear understanding of the reasons for leaving and accuracy of information fed into the HR dashboard.

#### 4.24 **Learning and Development**

Managers will support staff with learning and development by ensuring that objectives and training needs are identified in appraisals. HR are responsible for collating the details to ensure appropriate training programmers are run across the CCG, and ensuring all staff have an equal opportunity to access training.

Training and development may encompass a wide range of activities including classroom training, e-learning, coaching, mentoring, shadowing, secondments, workbooks and workshops, webinars, self-study and further education where applicable. In some cases staff may be seconded to other organisations where this offers a clear learning and development opportunity.

#### 4.25 **Recruitment and retention premia**

Recruitment and retention premium is a supplementary payment over and above the salary for a pay band. This premium is used where market pressures would otherwise prevent the CCG from being able to recruit and retain staff, in sufficient numbers, at the normal salary of a particular job. If an individual moves to a different role, which does not attract a premium, the entitlement to any recruitment of retention premium will cease.

#### 4.26 **Short term recruitment and retention premium**

Short term recruitment and retention premium will apply where the labour market conditions give rise to recruitment and retention problems which are expected to be short term.

Short term recruitment and retention premia:

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

4.27

### **Long term recruitment and retention premium**

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

Long term recruitment and retention premia:

- Will be awarded on a long term basis
- Will have their values regularly reviewed
- Will be pensionable and will count for the purposes of overtime and any other payments linked to basic pay

Both long term and short term recruitment and retention premia will be expressed as cash sums and will be separately identifiable from basic pay.

Any recruitment and retention award will not exceed 30 per cent of basic salary. Further information is documented in the NHS Agenda for Change Handbook.

5

### **Associated Documentation**

Safer Recruitment – A guide for NHS Employers (NHS Employers 2006)  
Recruitment Factsheet (CIPD, 2008)  
Disclosure and Barring Policy (HR30)  
Interim Guidelines (HR37)  
Probationary Period Policy (HR38)  
Learning and Development Policy (HR14)

6.

### **Appendices**

Appendix A - Manpower Request Form [Appendix A Manpower Request Form v2.dotx](#)  
Appendix B - Offline Application form [Appendix B SDCCG Offline Application.doc](#)  
Appendix C - Shortlisting Pro-forma [Appendix C Short Listing Form.docx](#)  
Appendix D - Recruitment Interview pro-forma [Appendix D Interview Guide.dotx](#)  
Appendix E - First Day Checklist [Appendix E First Day Checklist.docx](#)  
Appendix F - Recruitment Methods [Appendix F Recruitment Methods.xlsx](#)  
Appendix G - Advert Form [Appendix G Advert Request Form.dotx](#)  
Appendix H - Recruitment of Clinical Lead Flowchart [Appendix H Clinical Lead recruitment process.pptx](#)  
Appendix I - Recruitment Flowchart [Appendix I Recruitment Flowchart.pdf](#)  
Appendix J - Appointment Form [Appendix J Appointment Form.dotx](#)  
Appendix K – Recruitment Timescales [Appendix K Recruitment Timescales.docx](#)