



**Joint Policy for Cumbria Partnership Foundation Trust & North Cumbria University
Hospital NHS Trust**

Recruitment and Selection Policy

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Accountable Director	Michael Smillie – Interim Director of Workforce and OD
Policy Author	Victoria McDade – Recruitment and Attraction Manager

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Policy On A Page

SUMMARY & AIM

The principles and practices described in this policy apply to the recruitment of temporary, substantive and fixed term appointments, both part-time, full-time, and bank staff in all employment groups and grades.

It complies with legislative requirements, NHS requirements and good practice in recruitment to ensure that the Trust can attract and appoint suitably skilled employees.

There are separate policies in place for the recruitment of volunteers and the use of agency staff. Please refer to the Guidance on the Recruitment and Appointment Process and Ongoing Monitoring Requirements for Board Members to Ensure Compliance with the Fit and Proper Person Requirements for all Board Member appointments.

TARGET AUDIENCE:

Recruiting Managers
Recruiting Officers
Candidates

TRAINING:

Offered in house via Recruitment Manager
NHS Jobs training CPFT
Recruitment (people management) best practice recruitment CPFT
Recruitment and Selection Training
NCUH (combination of both above)

KEY REQUIREMENTS

- All vacancies for advertising internal/external and expressions of interest must use the recruitment and selection process
- All managers need to attend recruitment and selection training if conducting interviews. Where panel members have not been on training they should follow the direction of the lead interviewer ensuring questions are fair and the best practices and principles of recruitment are applied.

Shortlisting

- Best practice for all AFC and medical posts recommend at least two people are available for shortlisting candidates for interview

Interviewing

- It is a mandatory requirement that there is a minimum of two panel members (including the lead recruiting manager) to conduct interviews.
- Senior posts and Consultant Interviews will require additional panel members as set out in point 3.9 of the policy.

Pre employment checks

- All pre employment checks must be received prior to unconditional offer of employment being made.

Data Protection Legislation:

The Trust(s) are committed fully to compliance with the requirements of the General Data Protection Regulations (GDPR) 2016 and the Data Protection Act (DPA) 2018. The GDPR and DPA legislation aims to balance the requirements of organisations to collect, store and manage various types of personal data in order to provide their services, with the privacy rights of the individual about whom the data is held.

The GDPR and DPA legislation covers both manual and computerised records in any format, where the record contains details that can identify, directly or indirectly data on a natural person or persons. The DPA sets out principles which must be followed by those who process data; it gives rights to those whose data is being processed.

TABLE OF CONTENTS

1.	INTRODUCTION.....	5
2.	PURPOSE	5
3.	POLICY DETAILS.....	6
	Equal Opportunities	6
3.2	Recruitment Process Overview	6
3.2.1	Establishing the Need (Creating a vacancy).....	6
3.2.2	Job Description and Person Specification.....	7
3.2.3	Job Evaluation	7
3.2.4	Vacancy Approval.....	7
3.2.5	Advertising	7
3.2.6	Advertising to attract International Candidates	8
3.3	Methods of Recruitment	8
3.4	Application forms	8
3.5	Reviewing and Shortlisting.....	8
3.6	Interview Arrangements.....	9
3.7	Composition of Interview Panels.....	9
3.8	Interview.....	11
3.9	Informing the Candidates	11
3.10	Conditional Offer of Employment	11
3.10.1	Offers for Consultant Level	11
3.11	Unconditional Offer and Contract of Employment.....	11
3.12	Pre-employment Checks	12
3.12.1	Employment History	12
3.12.2	References	13
3.12.3	Right to Work.....	13
3.12.4	Identity Checks	14
3.12.5	Professional Registration and Qualifications	14
3.12.6	Occupational Health Checks	14
3.12.7	Disclosure and Barring Service (DBS) Checks.....	15
3.12.8	Healthcare Professional Alerts Notice	15
3.12.9	Fit and Proper Person Test (for all directors and non-executive directors or those in equivalent roles)	15
3.13	International Recruitment	16
3.14	Induction.....	17
3.15	Doctors in Training	17
3.16	Record Keeping.....	17
3.17	Staff Affected by Organisational Change	17
4.	TRAINING AND SUPPORT	17
5.	PROCESS FOR MONITORING COMPLIANCE	18
6.	REFERENCES:	19
7.	ASSOCIATED DOCUMENTATION:	19
8.	DUTIES (ROLES & RESPONSIBILITIES):	19
8.1	Chief Executive / Trust Board Responsibilities:	19
8.2	Executive Director Responsibilities:	19

8.3	Managers Responsibilities:.....	19
8.4	Staff Responsibilities:	19
8.4.1	The Recruitment teams	20
8.4.2	Medical Workforce	20
8.5	Approving Committee Responsibilities:	20
9.	ABBREVIATIONS / DEFINITION OF TERMS USED	20
	DOCUMENT CONTROL	22

1. INTRODUCTION

North Cumbria University Hospitals NHS Trust (NCUH) and Cumbria Partnership NHS Foundation Trust (CPFT) are committed to the development and application of positive policies and practices to promote equal opportunities in recruitment and selection. We believe that it is essential to eliminate discrimination and to promote good relations and equality of opportunity to utilise to the full, the skills and talents of the workforce.

The Trusts are also committed to streamlining the recruitment processes in line with 'Best Practice' as developed by the NHS Central Team and enhancing the customer experience. It is the aim to appoint the best candidates with the right values and behaviours whilst maintaining safe and effective recruitment activities.

This policy provides a framework to ensure that our service and those using it complies with;

- Employment legislation with guidance from relevant Codes of Practice
- NHS Terms and Conditions of Service
- NHS Employers Employment Checks Standards
- UK's immigration laws
- CQC regulations
- Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975
- Police Act 1997(Criminal Records)(Amendment) Regulations 2013
- Safeguarding Vulnerable Groups Act 2006 (as amended by Protection of Freedoms Act 2012)
- General Data Protection Regulation (GDPR) 2018

and

- Participates in a safe and effective recruitment and selection process ensuring equality of opportunity.
- Follows an open, transparent and fair process.

2. PURPOSE

- 2.1 The purpose of the policy is the delivery of a safe and effective recruitment and selection process which will result in the recruitment of a high calibre workforce free from bias and discrimination.
- 2.2 The policy outlines the Trust's legal responsibilities, including the Equality Act 2010 and is based on best practice.
- 2.3 It ensures the process adheres to the NHS Employment Check Standards which are part of the Care Quality Commissions framework.
- 2.4 The Trust is committed to safeguarding and promoting the welfare of children, young people and vulnerable groups and expects all staff to share this commitment.

3. POLICY DETAILS

Equal Opportunities

3.1.1 All recruiting managers, whether they are writing adverts, Job Descriptions, shortlisting or interviewing, must have an understanding of Equal Opportunities in relation to recruiting staff.

The Trust is committed to Equal Opportunities in employment and aims to ensure:

- All employees and job applicants are treated fairly and valued equally and are not subject to unjustifiable requirements or conditions.
- No person is treated less favourably than another on grounds of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or belief, sex, and sexual orientation

3.1.2 The support of employees is crucial in enabling policies and procedures to operate successfully and all employees must:

- Co-operate with measures designed to support or promote equal opportunities.
- Not discriminate, harass, abuse, victimise or intimidate others.
- Inform their manager if they know or suspect discrimination is occurring.
- Follow all instructions given in accordance with the law and Codes of Practice concerning equal opportunities.
- Participate fully in any equal opportunities / recruitment and selection training provided by the Trust.

3.1.3 Legislation is in place to ensure discrimination does not take place. The Equality Act 2010 consolidates and amends legal requirements on equality and covers equality at work and in the provision of goods, facilities or services.

3.1.4 Under the Act it is also unlawful for an employer to fail to provide any reasonable adjustments for disabled applicants to have the same access.

3.2 Recruitment Process Overview

Detailed guidance for managers is available on the recruitment page on the Trust intranet and provides practical step by step advice on all aspects of the process. It must be read in conjunction with this policy. All recruitment activity will be managed using NHS Jobs and Electronic Staff Record (ESR) and the bi-directional interface between the two systems unless specified.

3.2.1 Establishing the Need (Creating a vacancy)

Managers should consider if there is a need to fill the vacancy taking into account factors such as budget constraints, workforce plans, skill mix etc.

3.2.2 Job Description and Person Specification

This must be on the Trust standard template up to date reflecting the purpose and responsibilities of the post. The person specification details the necessary qualifications, skills, experience and other attributes required by the applicant to undertake the duties of the post. Essential criteria which are essential requirements for adequate performance of the job and Desirable criteria which are not essential but could enhance effective work performance.

For consultant posts all Job descriptions are required to be reviewed by the Regional Advisor of the relevant Royal College. The timescales for getting a response will vary from college to college. For any concerns over timelines this must be raised with the medical workforce teams.

For any posts that involve teaching and/or research commitments, especially for Consultant posts the Trust should liaise with the University over the job description through the Head or Dean of the relevant Medical or Dental School or the Responsible Officer for research.

3.2.3 Job Evaluation

Where a new job description has been created or an existing job description updated with significant changes it must be submitted to the HR for job evaluation, prior to the vacancy being advertised.

3.2.4 Vacancy Approval

All vacancies must be submitted using the vacancy approval form or Workforce control form to the Recruitment team along with the job description and vacancy advert.

Approval will be managed via the online NHS Jobs approval system and vacancy panels.

Any targeted recruitment campaigns for hard to fill posts intended specifically to attract international recruits, including those from within the EEA, needs specific approval from the Director of Nursing or Deputy or the Medical Director dependent upon speciality. This is to ensure appropriate consideration is given to some of the specific requirements such as additional costs, bespoke support and Right to Work requirements. Advice should also be sought from the Attraction Lead and/or Recruitment Manager.

3.2.5 Advertising

All adverts will be placed on NHS Jobs <https://www.jobs.nhs.uk/> and the Government website <https://www.gov.uk/jobsearch>. For hard to fill posts the recruitment teams will work with the communications team to promote vacancies on social media platforms.

For any hard to fill clinical posts there are additional options of advertising in online and hard copy profession specific literature however this should be discussed with

the Recruitment Manager in the first instance to discuss the viability and past success.

The workforce teams will endeavour to commit time to bespoke recruitment and attraction activities such as local and profession specific fairs/open days. If recruiting managers need to discuss this more they should contact the Recruitment Manager.

3.2.6 Advertising to attract International Candidates

All external adverts may potentially attract international candidates, the Trusts must comply with the Home Office requirements of advertising the post for 28 days to satisfy the Resident Labour Market Test should managers wish to recruit a candidate outside the EEA.

3.3 Methods of Recruitment

All vacancies will be advertised on the NHS Jobs website, the Government website <https://www.gov.uk/jobsearch> and the internal vacancy bulletin.

There are exceptions where individuals may transfer as a result of restructure and reorganisation, seeking expressions of interest, redeployment, ring fencing posts for staff at risk of redundancy etc. (ring fencing may be wider than the two organisations).

Expressions of interest although not advertised via NHS jobs will still be required to be processed via the recruitment team so the vacancy can be tracked. Vacancies can be advertised externally or restricted to internal only. Any wider advertisement will be at the discretion of the budget holder and arranged via the recruitment team.

3.4 Application forms

All job applicants (whether internal or external) must complete the standard NHS Jobs online application form. This ensures that applications are made in a consistent and standard way. Arrangements can be put in place to support applicants who may not have the ability to complete an on line application; an applicant who may have literacy difficulties or disability may get help from family or friends to complete an on-line application.

The use of anonymised application forms at the shortlisting stage ensures that the Trusts comply with fair recruitment principles, based on each applicant's skills, knowledge and experience.

Applicants are required to declare if they are related to a senior member of the Trust. This enables the Recruitment Team to take necessary action to ensure that the selection process is not prejudiced. Canvassing occurs when an applicant tries to gain an advantage through informal attempts to further their application. Any applicant who canvasses or allows someone to canvass on their behalf will be disqualified.

3.5 Reviewing and Shortlisting

Reviewing the applications and shortlisting is undertaken by the recruiting manager using NHS Jobs based on the criteria set out within the person specification of the job description and should take place as soon as possible after the vacancy closes. Recruiting managers are encouraged to start shortlisting as soon as the vacancy is open in order to speed up the process when managing high volumes of applicants. Recommended practice is for shortlisting to be completed by a minimum of 2 people.

In order to meet the commitment to interview people applying under the Disability Confident Scheme the Recruitment team will notify the recruiting manager of any applicants who have declared that they have a disability and that they wish to be interviewed under the guaranteed interview scheme. These are highlighted in NHS Jobs by the 2 tick symbol - √√.

3.6 Interview Arrangements

Managers, where possible, should provide the interview date along with the advert and job description as this helps applicants manage their time and is 'best practice' for Consultant and SAS Doctor Interviews.

Once the shortlisted applicants have been identified, the recruiting manager will set up the interview arrangements in NHS Jobs confirming the panel members and allocating time slots available to candidates. Guidance on how to set these up are found on the intranet as well as given by the recruitment team at the beginning of the process.

3.7 Composition of Interview Panels

Recruitment of Agenda for Change Staff

Interview panels are required to be made up of a minimum of two people, one of which must be the recruiting manager.

For clinical posts at band 6 and above (CPFT only)

Wherever possible a Patient Experience Involvement Group Member (PEIG) should also be on the panel.

Trainee Grade Medical Staff

Interview panel make up for medical staff with experience level of Foundation level 1 to ST8 will have the following interview panel make up:
Lead Consultant, or SAS/Consultant and Business manager, with potential HR representative

Specialty and Associate Specialist (SAS) Doctors

Interview panel make up for SAS grade Doctors will include the following panel members. Clinical Director, Lead Consultant, SAS/Consultant, Business Manager and HR Rep. (NCUH only)

Consultant Interviews and Membership of the Advisory Appointments Committee (AAC).

The Regulations set out the provisions governing the membership of AACs. In meeting these provisions, the Trust should seek to secure a balanced Committee.

The core membership of Advisory Appointments Committees, as specified in Regulations, is set out below:

The core membership of an Appointments Committee should consist of:

- the Chairman of the Trust(s) (or another Non-Executive Director)
- an external assessor from the relevant College or Faculty
- the Chief Executive (or a nominated manager)
- the Medical Director (or a medical qualified nominated deputy)
- a Consultant employed within the Trust, normally from the relevant Specialty.

In the case of appointments to posts which have either teaching or research commitments or both, the committee must also include a professional member nominated after consultation with the relevant university. An AAC may not proceed if any core member (or their appointed deputy) is not present.

In addition, the Director / Deputy Director of Human Resources may be invited to be a member of the Appointments Committee.

The Trust may add other additional members, for example where the appointee will also work for another body or where more than one College has an interest, however the balance of the Appointments Committee should continue to have both a local and a medical/dental majority. In all cases, Appointment Committees should be kept to a minimum and, where possible, should not consist wholly of men or wholly of women.

Particular care needs to be taken in relation to AAC membership when appointing to posts across two or more Trusts or Services, or to appointments made in conjunction with universities. For example, it is possible to contract an employee jointly between two Trusts or between a Trust and a University, or local authority. When constituting the AAC in such cases, the requirements in the Regulations for joint appointments will need to be met.

If it is apparent when the shortlist of candidates is complete that any member of the committee is a close relative of the candidate, that member should be invited to stand down and a replacement nomination sought.

A retiring or outgoing Consultant should not normally be a member of the Appointments Committee established to select his/her successor.

3.8 Interview

The purpose of the interview is to assess, in conjunction with other selection methods such as psychometric testing and clinical assessments, the extent to which the candidate meets the criteria contained in the job description and person specification (ensuring qualifications are copied) including demonstration of the Trust Values. After the interview and any other selection methods have been completed, an evaluation of each shortlisted candidate should be made, taking into account information from all elements of the process. The recruitment team advise managers on the process to return documents

Recruiting managers must consider suitable settled workers already in the UK or EEA first followed by Non EEA Nationals. Where there are no suitable UK /EEA or settled workers in the UK candidates' managers must seek advice, before making offer, from the Medical Workforce team for medical staff and the Recruitment Manager for those appointed on NHS Terms and conditions of service (AfC). The only exception to this rule is if the job falls within one of the PHD level standard occupation classification (SOC) codes listed in [table 1](#) of the [Tier 2-5 Sponsor Guidance - \(<https://www.gov.uk/government/publications/sponsor-a-tier-2-or-5-worker-guidance-for-employers>\)](#) International candidates, especially those outside of the EEA, may be subject to additional testing such as English language and clinical skills test for their registration. These exams have timescales for completion that can impact on the application of Certificate of Sponsorship.

3.9 Informing the Candidates

It is a mandatory requirement that the recruiting manager must inform all candidates of the outcome of the interview.

A verbal offer of employment can be made subject to receipt of satisfactory pre-employment check.

3.10 Conditional Offer of Employment

The recruiting manager should complete the offer letter details form and return to the Recruitment team. A conditional offer of employment will then be sent to the successful candidate.

3.10.1 Offers for Consultant Level

Consultants can be appointed within 6 months entry onto the Specialist Register of the GMC. If not within 6 months of gaining entry on to the specialist register or specialist register on day of commencement they can only be appointed as locum.

3.11 Unconditional Offer and Contract of Employment

These will be made in writing on receipt of satisfactory pre-employment checks. The Statement of Particulars (contracts of employment) should be signed by the successful candidate and returned to the Trust before commencement of employment.

3.12 Pre-employment Checks

- NHS Employers Employment Checks Standards
- UK's immigration laws
- CQC regulations
- Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975
- Police Act 1997(Criminal Records)(Amendment) Regulations 2013
- Safeguarding Vulnerable Groups Act 2006 (as amended by Protection of Freedoms Act 2012)

A summary of the pre-employment check standard are set out below. Further detail can be found on the NHS Employers website <http://www.nhsemployers.org/your-workforce/recruit/employment-checks/employment-history-and-reference-checks> and advice sought from the recruitment team.

All offers of employment are conditional subject to satisfactory pre-employment checks as listed below. Unsatisfactory pre-employments checks may result in the withdrawal of an offer of employment.

- Identity Checks
- Right to Work Checks
- Employment History and Reference Checks
- Professional Registration and Qualification Checks
- Work Health Assessments
- Criminal Record Checks

If information contained in the application form, disclosed at interview or detailed on the disclosure and barring service (DBS) application form and Occupational Health Pre-employment health questionnaire is found to be false then the offer of employment may be withdrawn. If information provided is false, misleading or knowingly withheld and found to be so when the employee has started work, then the employee will be liable to dismissal and may be referred to the Counter Fraud Specialist for investigation

Where the recruitment team suspect that an applicant's documentation may be fraudulent, they must refer the application to the Recruitment manager who will seek advice from the local Counter Fraud Specialist and may, the offer of appointment may be withdrawn.

3.12.1 Employment History

The primary purpose of these checks is to obtain information about an applicant's employment and/or training history in order to ascertain if they are suitable for a position. The secondary purpose is to cross-reference information gained through the reference with that provided by the applicant as part of the application.

3.12.2 References

For all new appointees coming into the NHS for the first time the Trust must seek to validate a minimum of consecutive years of continuous employment and/or training including details of any gaps in service prior to the application. The number and type of references may vary for each applicant.

For appointees moving from one NHS organisation to another NHS organisation only one reference is required from their current or last NHS employer, the reference must cover a period of a minimum of 12 months. Where the applicant has not been employed in an NHS organisation for 12 months or more a reference must be sought from the previous employer.

Internal staff moving role only one reference is required, this will be requested from their current line manager. If the recruiting manager is also the current line manager no reference is required.

For Medical posts – Additional Medical Practice information transfer (MPIT) will be sought post start.

Senior Appointments see also section 'Fit and Proper Person requirements'

3.12.3 Right to Work

The Immigration, Asylum and Nationality Act 2006 (amended by the Immigration Act 2016) makes it a criminal offence for employers to knowingly employ illegal migrant workers.

The act provides the employer with a statutory excuse against civil penalty if they are found to be employing a legal worker and have not knowingly carried out the correct right work. The employer must assess the eligibility of an individual's right to work in the UK by verifying specified documentation. This determines someone's right to work in the UK and failure to complete the necessary checks can result in fines of up to £20,000 per illegal worker.

Assumptions must not be made about a person's right to work and to avoid any potential discrimination all applicants must be treated the same.

Minimum requirements

1. Obtain the person's **original** documents from List A or List B Group 1 or List B Group 2 of the Home Office Right to Work Checklist https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/378926/employers_right_to_work_checklist_november_2014.pdf
2. Check all documentary evidence in a face to face meeting with the holder to verify the documents are genuine, that the individual is the rightful owner of the documents and they are permitted to do the type of work being offered.
3. Make a clear copy of all documentary evidence seen, annotate the document with 'I certify that this is a true copy of the original document', signed by the checker with their name printed and the date of the check.

Documents must be validated within recruitment in line with NHS Standards. Copies of the documents must be included on the applicant/employees file; details must be entered in ESR.

3.12.4 Identity Checks

Identity checks are carried out to minimise the risk of employing or engaging a person that is an illegal worker or impersonating another person. All ID that is taken must be copied, signed and dated.

Requirements:

2 forms of photographic ID and 1 proof of address

1 form of photographic ID and 2 proof of address

or

1 passport photo (signed by someone of good standing in the community who has known the individual for at least 3 years)

+

2 forms of non-photographic identity

+

2 documents confirming address

3.12.5 Professional Registration and Qualifications

For roles where a professional registration is required a check must be undertaken on the relevant professional body website. The details will be recorded within ESR. For medical and dental staff group registration with the GMC or GDC, monitoring of compliance and renewal will be undertaken by the Medical Workforce team using information in ESR and the bi-directional interfaces utilised. The ESR Workforce Information team will monitor compliance of all other staff groups where there is a requirement to be professionally registered.

During the recruitment process a copy of the registration confirmation will be placed on the applicant/employee's file.

All qualifications stated as essential within the person specification must be checked if the applicant has confirmed that they have the qualification(s) on their application form. Originals must be presented to the recruitment team where checks will be undertaken and copies made properly annotated and retained on the applicant/employee's personal file.

Employers have the discretion to accept other qualifications or experience which may be equivalent to any predefined requirements.

3.12.6 Occupational Health Checks

All staff must have a work health assessment (also known as a pre-placement health check).

The purpose of a health assessment is to assess whether new employees:

- capable and fit to undertake a particular role
- have a health condition or disability that requires adjustments in the workplace to enable them to undertake the post offered; or
- have a health condition or disability that requires restrictions to their role (e.g. Exposure Prone Procedures (EPP) workers with a blood-borne virus).

3.12.7 Disclosure and Barring Service (DBS) Checks

Criminal record and barring checks are designed to help prevent unsuitable people from entering the NHS workforce and gaining access to vulnerable groups. The DBS allows employers to access the criminal record history of people working or volunteering, or seeking to work or volunteer in certain positions, especially those that involve working with vulnerable groups and/or in a regulated activity. Not all individuals being appointed into positions within the NHS are eligible for criminal record or barring checks. Employers must be clear when they may legally obtain a check as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 and, in certain circumstances, the Police Act 1997 (Criminal Records) Regulations 2002 and Safeguarding Vulnerable Groups Act 2006 (as amended by Protection of Freedoms Act 2012)

Please refer to the Trusts Disclosure and Barring policy.

3.12.8 Healthcare Professional Alerts Notice

In addition to the NHS Employment check standards the Healthcare Professional Alerts Notice (HPAN) system will be checked by the recruitment team for all prospective applicants that are required to be professionally registered with a regulatory body (NMC, HCPC, GMC, GPHC)

The HPAN is a system which is used to inform NHS bodies and others of healthcare professionals whose performance or conduct gives rise to concern.

3.12.9 Fit and Proper Person Test (for all directors and non-executive directors or those in equivalent roles)

In addition to the above pre-employment checks, for senior appointments to the Trust, there is a further requirement to ensure the fitness and suitability of such persons to be appointed. These checks are in accordance with CQC Regulation 5 CQC <https://www.cqc.org.uk/guidance-providers/regulations-enforcement/regulation-5-fit-proper-persons-directors#guidance>

- Undertaking a search of insolvency and bankruptcy register
- Undertaking a search of disqualified directors register
- A check of the HPAN Alert Notices
- Candidate completion of declaration of fitness

In conjunction with the relevant senior manager the recruitment team are responsible for completion of these checks.

3.13 International Recruitment

This section provides a brief overview of some of the key considerations. International recruitment can be a complex area so advice should be sought from the Recruitment Team prior to carrying out any targeted international recruitment or making any offer of employment to an individual from outside of the EEA or from within the EEA where the individual needs to obtain a UK professional registration for the post.

Recruitment from outside of the UK has made a valuable contribution in the NHS over recent years and forms an important part of the workforce supply strategy of NHS organisations. Over recent years the Home Office has introduced a number of changes to the immigration system governing the way individuals from outside the European Economic Area (EEA) and Switzerland can work, train or study in the UK. They include tough measures to prevent illegal working and a limit on the number of migrants that organisations can employ under Tier 2 of the points-based system. Checking an individual's Right to Work in line with the NHS Employment check requirements is an essential part of the recruitment process, further details can be found in section 3.14 of the policy.

Whilst the majority of nationals from European Economic Area (EEA) countries and Switzerland can enter the UK without any restrictions it is important to note that professional registration requirements for EEA nationals wishing to work in the UK do vary between different healthcare professions, it is therefore essential to check with the relevant regulatory body to ensure the correct process is followed.

The Trusts have Sponsorship Licenses to enable them to employ and sponsor workers from outside of the EEA, as sponsors the Trusts must adhere to the rules as specified by UK Visas and Immigration (UKVI) or they risk losing their status as an approved sponsor. Not all posts will be eligible for sponsorship. However, filtering out non-Economic European Area (EEA) applicants as a blanket policy to exclude them from the recruitment and short listing process could carry the risk of an indirect discrimination claim. NHS employers therefore recommend, in adverts, referring to 'candidates needing Tier 2 sponsorship' rather than 'non EEA candidates' to minimise the risk of unlawful discrimination.

As sponsorship license holders CPFT and NCUH are responsible for issuing a Certificate of Sponsorship (CoS) directly to the migrant. The License Holder Duties are as follows:

The Trusts must:-

- check that your foreign workers have the necessary skills, qualifications or professional accreditations to do their jobs, and keep copies of documents showing this
- only assign certificates of sponsorship to workers when the job is suitable for sponsorship
- tell UK Visas and Immigration (UKVI) if your sponsored workers are not complying with the conditions of their visa and have in place systems to
- monitor your employees' immigration status
- keep copies of relevant documents for each employee, including passport

and right to work information

- track and record employees' attendance
- keep employee contact details up to date
- report to UKVI if there is a problem, for example if your employee stops coming to work

3.14 Induction

All new employees to the Trusts are required to undertake a Corporate Induction on commencement of post. The inductions are organised by the recruitment teams.

Agency workers working less than 90 days are not required to attend Corporate Induction however non-attendance must be approved by the Business Manager.

In addition, a local induction specific to the ward or area must be completed within the first month of employment. See the Induction policy for further details.

3.15 Doctors in Training

For Doctors in training and equivalent grades who are not directly employed by the Trust [i.e. employed by Host Trusts/Lead Employers] it is the responsibility of the Host Trust to ensure all relevant checks as set out in this policy are adhered to. The declaration form must be completed by the relevant Human Resources department of the Host Trust prior to the Trainee placement commencing and a copy should be held on their personal file.

The medical workforce teams are responsible for checking registrations and identity of all Trainee Doctors prior to commencement of post raising any possible issues with the Human Resources department.

On commencement of employment, the trainee must bring with them the identity documents. The Medical Workforce team must sign copies of these and retain.

3.16 Record Keeping

All records for the appointed candidate must be transferred to their personal file for retention application forms for unsuccessful candidates will be retained for 12 months on NHS jobs then removed. Electronic copies of Interview scoring sheets and associated panel notes will be kept for 12 months, however, all other records and notes collated at interview stage will be destroyed after successful candidate has been appointed.

3.17 Staff Affected by Organisational Change

Please refer to the Organisational Change Policy for advice on the appointment of staff who are affected by organisational change within the Trust.

4. TRAINING AND SUPPORT

It is highly recommended that all staff involved in the Recruitment and Selection process attend training which is provided by the Recruitment Team. Details of training dates can be sought of the intranet or directly with the Recruitment Team. Managers must also undertake the Trusts mandatory Equality and Diversity Training.

5. PROCESS FOR MONITORING COMPLIANCE

The process for monitoring compliance with the effectiveness of this policy is as follows:

Aspect being monitored	Monitoring Methodology	Reporting		
		Presented by	Committee	Frequency
All pre-employment checks and checking procedures have been undertaken in line with this policy: 1. Employment History and Reference Checks 2. DBS Checks 3. Verification of Identity Checks 4. Right to Work Checks 5. Registration and Qualification Checks 6. Occupational Health Checks 7. UKVI requirements for Non EEA	Audit of 20 cases Reporting from ESR All new staff under a Certificate of Sponsorship in the quarter to ensure compliance with all Sponsorship requirements.	Recruitment Manager	Workforce and OD SMT	Quarterly

Wherever the above monitoring has identified deficiencies, the following must be in place:

- Action plan
- Progress of action plan monitored by the *name of relevant committee* minutes
- Risks will be considered for inclusion in the appropriate risk registers

6. REFERENCES:

- NHS Employment Check Standards – www.nhsemployers
- Equality Act 2010 <https://www.legislation.gov.uk/ukpga/2010/15/contents>
- Immigration, Asylum and Nationality Act 2006
<https://www.legislation.gov.uk/ukpga/2006/13/contents>
- Employment legislation together with guidance from relevant Codes of Practice
- Home Office Tier 2-5 Sponsor Guidance
<https://www.gov.uk/government/publications/sponsor-a-tier-2-or-5-worker-guidance-for-employers>
- The NHS (Appointment of Consultants Regulations) Good Practice Guide
<http://www.nhsemployers.org/your-workforce/recruit/employer-led-recruitment/consultant-appointments>

7. ASSOCIATED DOCUMENTATION:

Disclosure and Barring Service Policy.
Engaging Non-Medical Agency Staff Policy
Organisational Change Policy
Induction policy
Equal Opportunities in Employment Policy (NCUH)
Dignity at Work

8. DUTIES (ROLES & RESPONSIBILITIES):**8.1 Chief Executive / Trust Board Responsibilities:**

The Chief Executive and Trust Board jointly have overall responsibility for the strategic and operational management of the Trust, including ensuring that Trust policies comply with all legal, statutory and good practice requirements.

8.2 Executive Director Responsibilities:

All policies have a designated Executive Director and it is their responsibility to be involved in the development and sign off of the policies, this should ensure that Trust policies meet statutory legislation and guidance where appropriate. They must ensure the policies are kept up to date by the relevant author and approved at the appropriate committee.

8.3 Managers Responsibilities:

It is the responsibility of the Recruiting Manager to comply with this policy and supporting procedures and to ensure that any of their staff involved in the recruitment process are aware of and comply with the requirements. They should attend relevant training as appropriate.

8.4 Staff Responsibilities:

Staff who wish to apply for posts, must be aware of the contents of this policy and apply for posts in the appropriate way.

Staff involved in recruitment as a member of an interview panel should attend recruitment and selection training provided by the Trust, be aware of equal opportunities considerations and the policy in relation to the process of interviewing and appointment

8.4.1 The Recruitment teams

The Resourcing Team will be responsible for administering and monitoring the recruitment process, including

- Processing Vacancy Request/Workforce control forms for approval
- Placing of recruitment adverts
- Inviting candidates to interview after managers have shortlisted
- Arranging conducting and recording all pre-employment checks
- Issuing of letters and contracts of employment
- Booking new starters on to Corporate induction
- Produce and deliver appropriate training in respect of recruitment and selection, focussed on good people management practice in this core area
- Retain documentation relating to applicants in accordance with the policy and 'best practice'
- Produce an applicant file containing all documentation acquired and produced during the recruitment process
- Complete audit's to provide assurance to internal and external agencies that the policy is being adhered to.

8.4.2 Medical Workforce

The Medical workforce team will support medical recruiting managers and the transactional recruitment team with additional guidance and advice on specific parts of the recruitment cycle relating to the recruitment of medical staff, specifically but not exhaustive:

- Pay
- Job planning / Rota
- Terms and Conditions
- Support at consultant grade interviews
- Support with Royal College approval

8.5 Approving Committee Responsibilities:

The Chair of the approving committee will ensure the policy approval is documented in the final section of the Checklist for Policy Changes. The committee will agree the approval of the final draft of the policy.

9. ABBREVIATIONS / DEFINITION OF TERMS USED

ABBREVIATION	DEFINITION
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AAC	Advisory Appointment Committee
AfC	Agenda for Change (NHS Terms and Conditions of Service)
CPFT	Cumbria Partnership NHS Foundation Trust
CQC	Care Quality Commission
DBS	Disclosure and Barring Service
EEA	European Economic Area
ESR	Electronic Staff Record
HENE	Health Education North East
HR	Human Resources
LET	Lead Employer Trust
NCUH	North Cumbria University Hospitals NHS Trust
Recruiting Manager	Line manager responsible for recruiting to the vacant post
Recruiting Officer	The member of staff in the recruitment team who is responsible for an area of the process
SAS	Specialty and Associate Specialists

DOCUMENT CONTROL

Equality Impact Assessment Date	15/10/18
Sub-Committee & Approval Date	Joint Partnership Forum 7/11/2018

History of previous published versions of this document:

Trust	Version	Ratified Date	Review Date	Date Published	Disposal Date
CPFT	POL/004/003	26 Jan 2018	Jan 2018	Jan 2016	August 2018
NCUH	V6	26/01/2012	31/01/2015	26/01/2012	August 2018

Statement of changes made from previous version: Draft Joint Policy

Version	Date	Section & Description of change
0.2 Joint	03/01/2019	Section 3.5 reworded to provide clarity of symbols Section 3.8 – hyperlink address for Tier 2-5 Sponsor Guidance inserted
NCUH V6	September 18	<ul style="list-style-type: none"> All Appendices removed particularly live documents used in the recruitment process. This is to allow flexibility to change documents. Medical recruitment was defined as an appendix and this is now streamlined into the main document.
NCUH V6	September 18	<ul style="list-style-type: none"> Reduction in Equality and Diversity definitions
NCUH V6	September 18	<ul style="list-style-type: none"> Change to process to make in line with improvements made in process in team and in line with CPFT
CPFTPOL004-003	September 18	<ul style="list-style-type: none"> Added additional information on job evaluation
Both policies	September 18	<ul style="list-style-type: none"> Additional section on Sponsorship licence and sponsorship responsibilities for non EEA recruitment. This includes additional monitoring requirements
Both polices	September 18	<ul style="list-style-type: none"> Update to Right to work checks to reflect the 2006 Act has been amended by the Immigration Act 2016)
Both polices	September 18	<ul style="list-style-type: none"> Update to reflect that we now comply with the GDPR act 2018
Both polices	September 18	<ul style="list-style-type: none"> Additional information and definitions relating to composition of interview panels.

List of Stakeholders who have reviewed the document

Name	Job Title	Date
Julie Thompson	Head of Workforce Services, CPFT	August 18
Mandy Annis	Employment Services Manager, NCUH	October 18
Care Group and Support Services Management Teams	Various	15 August 18
HR Policy Sub-group	Various	25.10.18
Joint Partnership Forum	Various	07.11.18