

Recruitment and Selection Policy

Policy reference – HR010

SUMMARY	<p>The Recruitment and Selection Policy is designed to support Line Managers in providing a fair, consistent and effective approach to the recruitment of all employees, in accordance with employment law and best practice.</p> <p>This policy outlines the recruitment and selection process including professional registrations, recruitment and retention premia, Disclosure Barring Service and pre-employment checks</p>
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This policy has been aligned to Greater Huddersfield and North Kirklees CCGs in light of shared staff working across the CCGs.

THIS POLICY HAS BEEN SUBJECT TO AN EQUALITY IMPACT ASSESSMENT

VERSION CONTROL SHEET

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1. POLICY STATEMENT

- 1.1 The Recruitment and Selection Policy is designed to support Line Managers in providing a fair, consistent and effective approach to the recruitment of all employees, in accordance with employment law and best practice.
- 1.2 The Clinical Commissioning Group (“CCG”) actively promotes equality of opportunity for all and welcomes applications from a wide range of candidates.
- 1.3 The CCG complies fully with the NHS Employment Check Standards and the Disclosure & Barring Service (DBS) code of practice and undertakes to treat all applicants fairly to ensure a fair process. This will help ensure that any employees that are recruited are not deemed a risk to patients, the public or the organisation.

2. SCOPE

- 2.1 This procedure applies to all vacancies and all employees of the CCG.

3. RESPONSIBILITY

- 3.1. Good working relations are vital for the CCG to operate successfully and provide services. There is a joint responsibility for management, trade unions and employees to accept the responsibility of working together on issues in good faith and with the shared intention of facilitating good working relations.

3.2. Recruiting Managers

It is the responsibility of the Recruiting Manager to:

- Comply with this policy and all related recruitment procedures;
- Ensure all necessary pre-employment checks are carried out on prospective appointments, including temporary, secondment and agency staff;
- Attend recruitment training (where applicable) and be aware of and apply all of the organisations recruitment procedures;
- Ensure that the recruitment and selection policy is applied fairly to all;
- Seek advice from a HR representative if information comes to light at any stage of the process which may impact on the employment offer.

3.3. Employees, Prospective Employees, Individuals engaged under Contracts for Service, Honorary (unpaid) and Students

It is the responsibility of the above to ensure that they:

- Provide all relevant information and documentation required by the CCG to comply with recruitment processes;
- Ensure that professional registration is maintained (where appropriate) in line with the organisation’s protocol and procedures;
- Advise their Recruiting Manager or Line Manager of any changes in their circumstances;
- Inform their Line Manager should they be charged with an offence or if their status changes with regard to checks during their employment.

3.4. Human Resources

The key responsibilities for Human Resources are to:

- Devise a policy and procedure on recruitment & selection and to ensure that the policy and procedure is maintained and updated accordingly in line with any organisation or legislative changes;
- Provide on-going support and training for all Line Managers, in dealing with the recruitment and selection process and ensure compliance with the relevant HR policies and procedures;
- Monitor all recruitment to ensure all required pre-employment checks have been completed. Ensure that completed documentation is placed on file and meets all audit requirements;
- Collect and report equality monitoring data for recruitment and selection. Use available data to identify potential inequalities and propose actions to address these.

4. EQUALITY STATEMENT

- 4.1 In applying this policy, the CCG will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, sex, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, carers and sexual orientation. An Equality Impact Assessment is used for all policies and procedures.

5. ACCOUNTABILITY

- 5.1 The Chief Officer is accountable for this policy.

6. IMPLEMENTATION AND MONITORING

- 6.1 The Remuneration Committee is responsible for the formal approval of this policy. Following approval, the policy will be disseminated to staff via internal communication methods and available through the staff intranet.
- 6.2 The policy and procedure will be reviewed periodically by the HR Team in conjunction with Trade Union representatives. Where review is necessary due to legislative change, this will happen sooner.

7. PROCEDURE – Identifying a Post

7.1 When a vacancy arises, Recruiting Managers will want to consider the most appropriate way to cover the work. Before a new or revised job description and job specification is drawn up, Recruiting Managers should review the staffing levels, skill mix and working patterns in their team to identify and potential redeployments.

7.2 The following questions should be considered:

- Can the work itself be eliminated?
- Can the work be absorbed by re-organising existing resources?
- Is it the same job as was done previously?
- Do the hours need to be the same?
- Will the job be permanent or temporary?
- What future service developments or changes might affect the post?

8. APPOINTING TO A VACANT POST WITHOUT ADVERTISING

8.1 If a post becomes available on a temporary basis due to such reasons as maternity or long-term sickness cover, the recruitment and selection process must be followed when selecting an employee to cover the vacancy. In such circumstances, it may be appropriate to recruit to the vacancy from a specific group of staff, for example where the post is of a specialist nature or as an 'acting up' position.

8.2 The ring fencing of vacancies would normally only apply where certain jobs are at risk. Where Recruiting Managers are considering ring fencing vacancies for any other reasons it is recommended they discuss this with the HR representative.

8.3 Prior to any post being advertised the organisation should give consideration to any employees who are currently 'At Risk'. At risk employees need only meet the essential criteria in order to have a ring fenced interview and the Recruiting Manager will need to provide evidence of why they are not appointable. The HR team will be able to advise Recruiting Managers whether there are any employees 'At Risk'.

8.4 The CCG will also ensure that any national or regional clearing house initiatives (where applicable) are followed prior to advertising any vacancies externally. The HR team will be able to advise whether any such initiatives are in place.

9. JOB EVALUATION

- 9.1 Having established that a vacancy exists, the Recruiting Manager will complete a job description and person specification for the post. If it is an existing post then the current job description and person specification must be reviewed and any necessary changes made. Where there are significant changes to the job description, then these will need to go through a job evaluation panel. For further guidance, please refer to a HR representative.
- 9.2 The job description should summarise the role and responsibilities of the post in a concise and accurate way.
- 9.3 The person specification defines the qualifications, skills, experience and aptitudes that are required by a person to fulfil the role. The criteria must be categorised as either essential (the minimum standard to perform the role adequately) or desirable (the standards which will enable the person to perform the job more effectively). The criteria used should be competency based to enable candidates to demonstrate how they have used particular skills previously. When writing the person specification, Recruiting Managers should ensure that they do not indirectly discriminate against any protected groups. Advice can be sought from the HR team.
- 9.4 The job description and person specification should be prepared in a standard format agreed by the organisation. The template will be provided by the HR representative.
- 9.5 All job descriptions and person specifications should be matched in line with the Agenda for Change job evaluation process. Any amendments to a previously banded job should be submitted to HR who will evaluate whether the changes are sufficient to require the post to be re-evaluated. For positions that are not covered under the Agenda for Change terms and conditions advice on job evaluation should be sought from HR. Posts may be advertised subject to evaluation (where necessary).

10. FINANCIAL/ESTABLISHMENT CONTROL

- 10.1 It is the responsibility of the Recruiting Manager to ensure that all necessary financial approvals are gained and documents completed correctly prior to the post being advertised. The CCG standard establishment control form can be found on the CCG intranet site.

11. ADVERTISING A VACANCY

- 11.1 Adverts will be placed by the Recruitment team, usually for a two to three week period (only in exceptional circumstances will an advert be placed for a shorter or longer period e.g. to take into account public holidays). Where there is a large volume of applications, the Recruiting Manager has the discretion to close the vacancy earlier. This is subject to having a disclaimer on the NHS Jobs website.
- 11.2 If a post is subject to a genuine occupational qualification (GOQ), this must be stated in the advert. Advice should be sought from a HR representative to ensure the correct terminology is used within the advertisement. Examples of GOQ include where a job requires someone from the same gender for reasons of privacy and decency such as public changing rooms, care homes, or a refuge for victims of domestic violence.

- 11.3 Positive action is a remedy available to address any under-representation of a particular group of people within their workforce. The provisions of the Equality Act 2010 give employers the option, when faced with two or more candidates of equal merit, to choose a candidate from a group that is under-represented in the workforce. It is important to note that positive action does not extend to selection decisions, which must be made on the basis of suitability for the job.

12. EXTERNAL RECRUITMENT

- 12.1 External vacancies will normally be advertised on the NHS jobs website (using the Trac recruitment system as the main interface) and applications are requested online. Under our responsibility to the Equality Act 2010 all applicants will be offered an application form in an appropriate format, on request. Recruiting Managers can circulate details of the vacancy to all staff within the organisation for information.
- 12.2 Where external advertising is appropriate, local or national publications may be used or key community associations. Any advertising costs need to have prior approval from the organisation's budget holder.
- 12.3 It is important that all vacancies are advertised on NHS Jobs (using Trac recruitment system) for reporting purposes. Where NHS jobs (using Trac recruitment system) are not suitable; bespoke services should be discussed with a HR representative as only in exceptional circumstances will this be considered and agreed.

13. INTERNAL RECRUITMENT

- 13.1 Vacancies can be advertised internally within the organisation, with only current employees eligible to apply including agency workers (who meet the criteria specified in the Agency Workers Regulations 2010). An exception applies for employees that are at risk of redundancy or redeployment. Posts may also be advertised internally specific to CCG employees that are shared but employed by a different CCG.
- 13.2 Internal vacancies must be advertised via NHS jobs (using Trac recruitment system) unless in exceptional circumstances and must be communicated via the organisation's newsletter or intranet by the Recruiting Manager.
- 13.3 Applications will normally be requested online via NHS jobs (using Trac recruitment system). Alternative application processes may be available for some roles and should be discussed with a HR representative.

14. SHORTLISTING

- 14.1 Shortlisting should be completed through the NHS Jobs site (using Trac recruitment system). A minimum of two shortlisting reviewers will be sent an email link once the vacancy closes. Where candidates have not applied via NHS Jobs (using Trac recruitment system), and it has been agreed that this is appropriate, and then the paper-based shortlisting matrix will be used.
- 14.2 Shortlisting must be carried out by examination of applications against the person specification and these must be applied consistently to all candidates on the basis of the information supplied in their applications. Where a large number of applicants satisfy the essential criteria other desirable criteria will be systematically applied to reduce the number of candidates. Under our commitment to the Disability Confident Scheme, all candidates who meet the essential criteria and indicated that they have a disability will be automatically shortlisted.
- 14.3 Recruiting Managers will not have access to any personal information until after the short listing process has been concluded. The reasons for decisions not to shortlist should be clearly recorded on the short-listing section of NHS jobs and the shortlisting matrix. This information will be required as evidence if allegations of unfair treatment are made or if a candidate asks for a shortlisting feedback on their application.

15. INTERVIEW ASSESSMENT

- 15.1 Interview panels will consist of a minimum of two people (three would be recommended) at least one of whom must have undertaken the CCGs Recruitment and Selection Training. For clinical posts, at least one panel member should be a clinician from the speciality to which the position relates. Any external assessors involved in the selection process will abide by the CCGs recruitment and selection processes.
- 15.2 Shortlisted applicants will be invited to interview with reasonable notice (ideally 5 working days' notice) before the interview date. Where possible the interview date should be included in the advert. The panel will take into consideration the timing of the dates of interview with any faith based dates.
- 15.3 The Recruiting Manager will ensure that all panel members follow procedures and sound recruitment practices.
- 15.4 Where previously advised by HR, Recruiting Managers are required to make reasonable adjustments that are required by candidates to take part in an interview, so that they are not at a substantial disadvantage. The Recruiting Manager will be responsible for co-ordinating arrangements for the day, including room bookings, refreshments and facilitating any requests made by applicants with a disability, with advice from the HR team in the case of a disability.
- 15.5 The Recruitment team will supply the interview panel with an interview schedule along with contact details for the shortlisted candidates. They will also provide an interview score sheet and a candidate appointment form.
- 15.6 Each interview panel member is responsible for recording their own assessment of each candidate by completing the interview assessment form. Any additional papers should be attached. Applicants are legally entitled to view these documents and they can be used in Employment Tribunals.

- 15.7 All panel members will ask the same core questions of each candidate, using the interview evaluation form. These questions will be based on the criteria in the person specification and can be weighted if appropriate.
- 15.8 Any gaps or discrepancies in employment or training history should be further investigated so that the CCG can take an informed view as to the probity of the candidate. Where there are gaps in employment or training history, the Recruiting Manager and/or panel will need to seek appropriate assurances from the candidate and, where in any doubt, should obtain suitable references.

16. ADDITIONAL ASSESSMENT METHODS

- 16.1 Selection tests are an excellent method of assessing a candidate's ability to perform the duties of the post, providing they are relevant, reliable, fair and unbiased. Examples include typing tests, in tray tests, writing a document, tests in the use of applicable software, case studies or scenario exercises and group exercises. It may be necessary to make reasonable adjustments to a test to accommodate a candidate with a disability.

17. SELECTION DECISIONS

- 17.1 Selection decisions must be objective and should only be made on the basis of how closely the candidates meet the person specification and interview assessment criteria. This should be based on a consistent scoring mechanism, used in the interview process.
- 17.2 Once a decision has been made the recruitment pack with all related documentation should be returned to the Recruitment team. The Recruiting Manager will be responsible for contacting candidates with the outcome and providing interview feedback.

18. PRE EMPLOYMENT CHECKS

- 18.1 Following the recruitment process, pre-employment checks will be obtained. These must satisfy the requirements of the NHS Employers pre-employment check standards as follows:
- Verification of identity checks;
 - Right to work checks;
 - Registration and qualification checks;
 - Employment history and reference checks;
 - Criminal record checks (Disclosure and Barring Service, (DBS) checks, where required for the role);
 - Occupational health checks.

Any changes to the national pre-employment check standards will supersede the information in this policy.

- 18.2 All pre-employment checks should meet these requirements prior to the candidate receiving an official offer letter confirming appointment. The organisation will withdraw any offer of employment to anyone who fails to meet these requirements.

- 18.3 Where there are concerns around the legitimacy of a candidate's application form, references or Disclosure and Barring Service (DBS) certificate; if it is suspected that false information has been provided or received, the matter must be referred to the Local Counter Fraud Specialist for further investigation. Further information on the specific process for obtaining these checks and the process for the follow-up for those who fail to satisfy the checking arrangements is available in appendix 4.
- 18.4 Evidence of all pre-employment checks conducted will be stored on individual personnel files with a record of the outcome entered and maintained by the Workforce Team on Electronic Staff Records (ESR).
- 18.5 Agency workers should only be obtained through recruitment agencies approved by the CCG where rates have been negotiated and there is a service level agreement in place. These agencies are responsible for obtaining pre-employment checks on all workers in line with all the NHS Employment check standards.
- 18.6 Recruiting Managers should not agree a start date prior to all pre-employment checks being completed. The CCG will withdraw any offer of employment to anyone who fails to meet these requirements.

19. ALERT NOTICES

- 19.1 Alert Letters are issued to notify NHS organisations and others about health professionals whose performance or conduct could place patients or staff at serious risk.
- 19.2 Employees regulated by one of the following bodies are covered by this procedure and maybe subject to alert letters:
- General Medical Council
 - General Dental Council
 - Nursing & Midwifery Council.
 - General Chiropractic Council
 - General Osteopathic Council
 - Health Professions Council
- 19.3 When Alert letters are received they are forwarded to the Workforce Team to ensure that they can be checked against records of candidates going through the recruitment process and existing employees. Their names will be entered on a local alert list database against which any potential new employees or workers will be checked before an offer of employment is made.
- 19.4 If an applicant is identified as being on the alert letter database recruitment will be halted, relevant parties informed and appropriate action taken.

20. STARTING SALARY AND INCREMENTAL DATES

- 20.1 New employees from outside of the NHS should be appointed on the bottom salary point in the relevant band in line with agenda for change.
- 20.2 In exceptional circumstances the Recruiting Manager may wish to make an offer higher than the bottom of a particular salary band, taking into account previous equivalent service outside of the NHS. Recruiting Managers will need to consider to what extent the previous service will be of relevance to their new post and make a clear rationale why a higher offer is appropriate through the CCGs business case process. In considering the case for counting previous equivalent service outside of the NHS, account should be taken of other terms and conditions of service applicable to the post, for example:
- Any additional allowances attached to the post e.g. working outside normal hours; on-call; recruitment and retention premia etc.
 - The final salary Occupational Pension Scheme
 - Annual leave and sick leave entitlements
- 20.3 Salaries agreed must exist as a point on the pay scale for the pay band and should never be more than the maximum of the scale.
- 20.4 When a candidate already working for the NHS is offered a job that is at the **same pay band** as their current role, they would move across on the same pay point at the same incremental point that they were previously on and retain their incremental date providing there is no break in service. Where a break in service has occurred that is less than 12 months, the incremental date shall be deferred by the length of the break. Initially staff will be paid on the minimum of the band until confirmation of previous salary has been received. However, as it can take some time to confirm past employment the new employee may provide an original copy of their last pay slip from their previous NHS employer to confirm their previous pay scale and point.
- 20.5 When a candidate already working for the NHS is offered a job that is at a **higher band** pay should be set at the minimum of the new pay band. However, if this would result in no increase either because the individual is receiving a bonus or recruitment or retention premium or because they are at the top of the band, the individual would go to the first pay point in the band which would result in an increase in pay.
- 20.6 For newly appointed or those promoted, the incremental dates will be the date they take up their post.

21. RECRUITMENT AND RETENTION PREMIA

- 21.1 The aim of a recruitment and retention premia is to ensure that the organisation remunerates all of its employees at a level at which recruitment and retention difficulties will not be encountered. Principles and definitions can be found in appendix 2.

22. EXPENSES

- 22.1 Agreement to pay a candidate's interview expenses is discretionary by exception and in agreement with HR and must be approved with the Recruiting Manager prior to interview. The Recruiting Manager is responsible for informing candidates of the process and handling the associated internal finance administration. Reimbursement of expenses shall not be made to candidates who withdraw their application or refuse an offer of employment.

23. INDUCTION

- 23.1 All new starters must be fully inducted into the organisation following the CCGs induction process.

24. STARTER DOCUMENTATION

- 24.1 The Recruiting Manager or Line Manager (if different) is responsible for ensuring that all induction paperwork available on the intranet is completed prior to the employee's first day.

25. MANAGING PERSONAL RELATIONSHIPS

- 25.1 Applicants will be required to declare on their application any personal/work relationship issue as this may cause a conflict of interest. The Recruiting Managers or interview panel members must also declare any personal/work relationship issue in line with the CCGs Standards of Business Conduct Policy.

26. SECONDARY EMPLOYMENT / VOLUNTARY WORK

- 26.1 Employees may not engage in secondary employment (paid or voluntary) which conflicts with their work with the CCG, or which is detrimental to the employee's work with the organisation. Employees wishing to engage in secondary employment/voluntary work in addition to their primary post must refer to the Working Time Regulations Policy and declare their secondary employment to their Line Manager.

Appendix 1 - Pre – employment Checks

1.1 Six NHS Employment Check Standard

NHS Employers (<http://www.nhsemployers.org/your-workforce/recruit/employment-checks>) have published a series of standards that detail the legal and mandated employment checks that NHS organisations must carry out to meet the Department of Health's core standards outlined within the Standards for Better Health. These checks will be carried out on all prospective employees including temporary, fixed term and voluntary workers.

1.2 Verification of Identity

The identity of all prospective employees must be reliably verified and recorded before any appointment can be made. Verification of identity checks are designed to determine that the identity is genuine and relates to a real person and to establish that the individual is rightfully using that identity.

All applicants are required to provide at interview, evidence of identity. This must then be photocopied by the Recruiting Manager (or nominated deputy) certified and retained with all the recruitment documentation. They must provide original identity documents in either of the combinations below:

- Two forms of photographic personal identification and one document confirming their address;
- One form of photographic personal identification and two documents confirming their address.

In addition, evidence will also be obtained of the applicant's signature. This will be acquired through the completion of a signature verification form that must be countersigned by the Recruiting Manager (or nominated deputy) and retained with all the recruitment documentation.

1.3 Right to Work Checks

The CCG has a responsibility to prevent illegal migrant working in the UK. An individual must produce documents to prove they are permitted to work in the UK and that their identity is genuine. If an individual is not subject to immigration control, has no restrictions on their stay in the UK or is a UK citizen, then they will still be required to produce a document or a specified combination of documents prior to commencing employment.

Where the individual has limited leave to be in the UK the checks will be repeated on that employee by the Recruitment team at least 3 months before expiry, until they provide specified documents indicating that they can remain permanently in the UK or until they leave the CCGs employment.

All documents provided by individuals must be checked following guidance on www.ukba.homeoffice.gov.uk. A certified copy of the documents is to be kept on the personal file. Certain documentation is accepted as proof of an individual's identity and this must be produced prior to commencement of employment.

If there are any concerns surrounding the legitimacy of documents provided the Local Counter Fraud Specialist should be contacted for further checks to be undertaken.

1.3.1 Work permits/Certificates of Sponsorship - Tier 2

If a prospective employee is not a British Citizen or a citizen of one of the EEA countries, they are likely to require a sponsorship certificate which will be applied for by the CCG to undertake employment. There are certain exceptions including:

- Swiss nationals;
- A family member of an EEA or Swiss national who is in the UK exercising their treaty rights or a family member of an EEA or Swiss national who intends to join them in, or is travelling with them to, the UK;
- A citizen of Gibraltar;
- A Commonwealth citizen with permission to stay in the UK on the basis of UK ancestry.

If a Recruiting Manager has questions about the likelihood of their post being suitable for a Tier 2 sponsorship certificate they should contact the Recruitment team for further information.

Where successful applicants require a sponsorship certificate, the application process will be managed by the workforce service.

The CCG will have to demonstrate that the resident labour market has been tested appropriately by national advert for up to 4 weeks. This means that no EU/EEA Nationals were suitable to fill the post.

The individual applicant/employee is responsible for securing their leave to remain and entry clearance. They must also ensure they have appropriate documentation to support their leave to remain (passport stamps or Identity Card). Certified copies of these must be held on the employee's personal file for the duration of their employment.

The CCG will pay the sponsorship fee. The individual will be responsible for the payment for their leave to remain.

1.3.2 Refugees and Asylum Seekers

A refugee has rights under the Geneva Convention to be treated no less favourably than citizens of the host nation. In the UK refugees have the right to work.

Since 2003 asylum seekers do not have the right to work in the UK. Only a very small number of asylum seekers will have the right to work and if so it will state 'employment permitted' on their Application Registration Card (ACR).

1.4 Employment History and Reference Checks

Before any appointment is made it is essential to check the accuracy of a prospective employee's previous employment and/or training history. It is also necessary to receive assurance of an individual's qualifications, integrity and track record.

Recruiting Managers should check the suitability of the supplied references at interview for all applicants and document any alternatives, if appropriate, on the preferred applicant's candidate confirmation form. The Recruitment team will then contact the referees for the preferred candidates by e-mail.

References should always be obtained in writing and will be requested using the CCGs standard proforma, although it may be necessary to further clarify information with the referee over the phone. These discussions should be factually-based, and should not focus on the referee's opinion of the individual's ability to carry out the role, or personal opinion of the individual. The interview should be sufficient to satisfy the hiring manager of the candidate's suitability, using objective, consistent assessment, for the post. Always obtain confirmation of employment and/or training in writing, either via post, email, fax, or using NHS Jobs for instance. Electronic confirmation must come from a company email address (private email addresses such as Yahoo, Hotmail etc. are not acceptable). Employers, including agencies providing staff to the NHS, will need to satisfy themselves that both the referee and the organisation are bona fide. This could include checking that the organisation exists (using the phone book, internet or business directories). All references should ideally include the referee's name, job title, and a mainline switchboard number.

References should be appropriate in order to provide the best possible evidence on the suitability of an individual for a position. References should cover at least the last three years of previous employment and/or training history and they should include the applicant's current or most recent employer or training provider. Where an individual has been with one employer for five years or more, one reference may be sufficient. Where a prospective employee has changed employment frequently within the last three years, a sufficient number of confirmations must be obtained to cover the continuous three years history.

For Internal appointments a reference should be sought from the applicant's current/last NHS Manager. Employers must assess whether any additional references are required to provide adequate assurances.

If Recruiting Managers have any concerns regarding the reference they should seek advice from HR or the Local Counter Fraud Specialist.

1.5 Registration and Qualification Checks

The purpose of registration and qualification checks is to ensure that all prospective employees are recognised by the appropriate regulatory body and that they have the right qualifications to do their job. (Please refer to appendix 3 on Professional Registrations)

1.6 Registration and Qualification Checks

The purpose of registration and qualification checks is to ensure that all prospective employees are recognised by the appropriate regulatory body and that they have the right qualifications to do their job. Before any unconditional offer letter is issued, the Recruitment team will confirm the individual is registered with the appropriate professional body, that there are no restrictions to their registration, and there are no pending investigations on their fitness to practice. This is done via the professional bodies' website. Evidence of this is printed by the recruitment team and placed on the individuals HR file and documented on the starter checklist.

Professionally registered employees are required to maintain their professional registration throughout their employment. Further information is available in appendix 3.

1.7 Qualification Checks

The CCG must ensure that all employees have the required qualifications to perform the role for which they are appointed. All applicants are required to provide at interview, evidence of any qualification that is required for the role. These must then be photocopied by the Recruiting Manager (or nominated deputy) and retained with all the recruitment documentation.

Where the candidate has gained their qualifications overseas, the Recruiting Manager will need to check that this qualification exists, that it is equivalent to the stated UK qualification and that the prospective employee does, in fact hold the qualification. These checks should, wherever possible, be carried out with the awarding institution where possible.

1.8 Occupational Health Checks

Occupational Health checks ensure that employees are physically and psychologically capable of doing their role, taking into account any current or previous illness. It is designed to identify anyone likely to be at excess risk of developing work-related diseases from hazardous agents present in the workplace and to ensure, as far as possible, that they do not represent a risk to others and that they will be doing work that is suitable and safe for them.

Occupational health checks should be carried out when a member of staff is first appointed to a position within the organisation or if they change positions, where this involves a significant change of duties.

Applicants successful at interview and who are defined as 'healthcare workers' are required to complete a full occupational health pre-employment questionnaire. Those that do not fit this definition are required to complete a work health declaration form asking whether they have either:

- Are you aware of any health conditions or disability which might impair your ability to undertake effectively the duties of the position which you have been offered?
- Do you have a health condition or disability which might affect your work and which might require special adjustments to your work or at your place of work?

The questionnaire or health declaration is sent to the successful applicant. A work health declaration form will only be submitted to the Occupational Health department if the applicant has answered yes to either of the above questions. Health questionnaires are sent directly to be reviewed by the Occupational Health department. All checks must take into account the requirements of the Equality Act (2010) and reasonable adjustments must be made to ensure that people can work in the NHS regardless of physical impairment or learning disabilities. Occupational health checks should only be made once a job offer has been made.

Once the Occupational Health department have reviewed all the information from the individual they will either issue a fit to work clearance certificate or provide a report detailing the applicant's suitability for the role and advising of any adjustments that would need to be made to the working environment in order to facilitate employment. It may be necessary for individuals to attend the Occupational Health Department in their first week of starting the new role in order to obtain any immunisation updates where applicable.

1.9 Criminal Background Checks / Disclosure Barring Service (DBS)

Guidance on the procedure for dealing with a disclosure check and the recruitment of ex-offenders is attached in appendix 4.

1.10 Recording Checks

Evidence of all pre-employment checks conducted will be stored on individual HR files with a record of the outcome entered and maintained by the recruitment team on ESR.

1.11 Agency Workers

Agency workers should only be obtained through recruitment agencies approved by the CCG where there is a service level agreement in place. These agencies are responsible for obtaining pre-employment checks on all workers in line with all the NHS Employment check standards.

2.0 Follow-up for those who fail to satisfy the checking arrangements

Individuals will not be able to commence employment with the organisation until satisfactory pre-employment checks have been received.

If unsatisfactory check(s) are received, the matter will be escalated to the recruiting manager and the following processes will apply:

2.1 Eligibility to work in the UK & Identity Checks

Failure by an applicant or employee to provide accurate information in regard to their eligibility to work in the UK or their identity checks will result in their immediate suspension from work without pay. At the same time the Local Fraud Team and the Home Office will be informed and an investigation undertaken by HR/Line Manager/ Local Counter Fraud Specialist.

2.2 Employment History & Reference Checks

In the event of unsatisfactory employment history or reference checks being received, the Recruiting Manager will be informed, enabling them to make a full review of the facts and circumstances and make a decision to recruit or withdraw the job offer.

2.3 Disclosure & Barring Service (DBS) Checks

In the event that conviction or other information is contained on a disclosure, the recruiting manager will be informed and with the support of HR, they must be assured that all relevant facts have been considered prior to make a decision as to whether it would be appropriate for the applicant to be recruited to that position. It may be necessary to meet with the individual to discuss this further as well as refer to other declarations the applicant may have made throughout the recruitment process, i.e. on the application forms and at interview. Once all the facts and circumstances are determined a decision must be made as to whether to recruit or withdraw the job offer.

2.4 Occupational Health

In the event of an unsuccessful Occupational Health check, the Recruiting Manager will be informed and with the support of the recruitment and Occupational Health team they must reassure themselves that all facts and options for reasonable adjustment on the grounds of health have been considered, prior to any offer of employment being withdrawn.

The Recruiting Manager must confirm in writing the reasons for withdrawing the offer of employment and this will be kept in the applicants recruitment file.

Any deliberate omission, falsification or misrepresentation in the application form will be grounds for rejecting the application or subsequent dismissal if employed by the CCG. Information may also be passed to the Local Counter Fraud Specialist for Criminal/Civil recovery proceedings.

Appendix 2 - Recruitment and Retention Premia (approved by the CCGs Remuneration Committee)

1. Definition

- 1.1 Recruitment and retention premia (RRP) is an additional payment to the basic pay of an individual post or specific group of posts.
- 1.2 Recruitment and retention premia may be paid in circumstances “where market pressures would otherwise prevent the employer from being able to recruit staff to and retain staff in sufficient numbers for the posts concerned at the normal salary for a job of that weight”.
- 1.3 Recruitment and retention premia is a supplementary payment over and above the basic pay that the post holder receives by virtue of their position on their pay band, any high cost area supplements, or any payments for unsocial hours or on-call cover.
- 1.4 Recruitment and retention premia will apply to posts rather than to employees. Where an employee moves to a different post that does not attract a recruitment and retention premium, either within the same organisation or elsewhere in the NHS, their entitlement to any previous recruitment and retention premium will cease and pay protection will not apply.
- 1.5 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 high cost area supplement and any other component of pay.

Any locally awarded recruitment and retention premium for a given post shall not normally exceed 30% of basic salary. It will be the responsibility of the organisation to ensure that any premium awarded locally do not normally result in payments in excess of this amount. In the event that, following review and subject to a 6 month notice period the recruitment and retention premia is withdrawn, pay protection arrangements will not apply.

2. Short Term Premia

- 2.1 Short-term recruitment and retention premia will apply where the labour market conditions giving rise to recruitment and retention problems are expected to be short-term and where the need for the premium is expected to disappear or reduce in the foreseeable future. Short term premia will normally be applied for a period of no longer than two years.
- 2.2 Short-term recruitment and retention premia:
 - May be awarded on a one-off basis or for a fixed-term;
 - Will be regularly reviewed (not less than annually);
 - May be withdrawn, or have the value adjusted, subject to a notice period of six months; and
 - Will not be pensionable, or count for purposes of overtime, unsocial hour's payments or any other payments linked to basic pay.

3. Long Term Premia

- 3.1 Long-term recruitment and retention premia will apply where the relevant labour market conditions are more deep-rooted and the need for the premium is not expected to vary significantly in the foreseeable future.
- 3.2 Long-term recruitment and retention premia:
- Will be awarded on a long-term basis;
 - Will be regularly reviewed (not less than annually);
 - May be awarded to new staff at a different value to that which applies to existing staff; and
 - Will be pensionable, and will count for the purposes of overtime, unsocial hours payments and any other payments linked to basic pay.

4. Procedure

- 4.1 A recruitment and retention premia may be awarded on either a short-term or long-term basis, determined by principles outlined in the following paragraphs.
- 4.2 To ensure consistency in the application of payment of recruitment and retention premia the organisation should not offer a local recruitment and retention premia without prior consultation with Staff Side.
- 4.3 The application for the award of recruitment and retention premia can only be generated at SMT level.
- 4.4 A record of all recruitment and retention premia being paid will be retained, and a review of all premia will take place at least annually.
- 4.5 The organisation may use premium in two main ways; either through recruitment; or through a requirement to retain staff; based on the job within a locality or through a market shortage or a specific skill set, both of these may be applied in a long or short term capacity.
- 4.6 Recruitment and retention premia will be considered in cases where it is proven that adjustments to non-pay benefits are unlikely to improve the situation and one or more of the following conditions apply:
- There are documented labour market shortages within a defined geographical area;
 - NHS employers locally have jointly agreed to pay supplements for designated posts and the organisation needs to remain competitive in the recruitment market for equivalent posts;
 - There is a competitive non-NHS labour market where salary survey data indicates that enhancements to Agenda for Change evaluated pay rates would be required to attract and retain staff;
 - Where there is a consistent data showing high pattern of turnover, supported by exit interview data, indicating a direct link to dissatisfaction with pay levels.

- 4.7 If it is decided that the vacancy problem can be addressed most effectively only through payment of a recruitment and retention premium, management and staff side should decide in partnership whether the problem is likely to be resolved in the foreseeable future (in which case any premium should be short-term) or whether it is likely to continue indefinitely (in which case any premium should be long-term).
- 4.8 Before consideration is given to payment of recruitment and retention premia to ensure retention of staff, management will ensure non-pay benefits (e.g. training and development) are sufficiently developed. Where possible; local turnover rates should be compared with national rates. Regular analysis of exit interview data will be undertaken to assess how far pay is a factor in employees' decisions to leave the organisation.
- 4.9 If it is decided that a retention problem can be addressed most effectively only through payment of a recruitment and retention premium, the organisation will decide whether the problem is likely to be resolved in the foreseeable future (in which case any premium should be short-term) or whether it is likely to continue indefinitely (in which case any premium should be long-term).

Appendix 3 - Professional Registrations

1. Principles

- 1.1 In order to protect the public and ensure high standards of clinical practice it is a legal requirement that the organisation may only employ registered practitioners in qualified clinical positions. This includes the following posts that have been accepted onto the register of the statutory regulatory bodies outlined in the NHS Employment Check Standards.
- Medical and Dental
 - Nurses and Midwives
 - Allied Health Professionals
 - Healthcare Scientists
 - Hearing Aid Dispensers
 - Practitioner Psychologists
 - Pharmacy Technicians
- 1.2 Employees are responsible for maintaining their registration with their relevant professional body. If registration is not maintained, this must be managed with reference to the CCGs Disciplinary Policy and Procedure.
- 1.3 Individuals who are not directly employed by the organisation (e.g. NHS Professionals, Agency and Locum workers) but who nevertheless are engaged in work that requires professional registration must also hold current registration. The organisation will ensure that there are processes in place to check the ongoing registration of such workers.
- 1.4 The process in this appendix will also be followed for individuals in non-clinical roles, where professional registration is a requirement of the role.

2. Employee Responsibility

- 2.1 Employees for whom professional registration is a requirement of their role are personally responsible for ensuring they maintain this registration at all times. Failure to do so is deemed a serious matter and may be deemed as gross misconduct. This will be managed in line with the CCGs Disciplinary Policy and Procedure.
- 2.2 Employees who recognise that their registration has lapsed must take immediate action. This includes:
- Informing their Line Manager immediately;
 - Re-registering with the professional body within 1 to 2 days or as soon as practicably possible;
 - Withdrawing from clinical/professional practice with immediate effect in discussion with their Line Manager;
 - Provide proof of renewal to the Line Manager as soon as this is confirmed.

3. Line Managers

3.1 Line Managers who identify a lapsed registration must take immediate action. This will include:

- Contacting the employee immediately;
- Ensuring the employee is withdrawn from undertaking the duties of a qualified clinician or a professional with immediate effect;
- Discussing the options with the employee and a HR representative;
- Checking re-registration with the relevant regulatory body; receiving proof of renewal and evidence in the personnel file. Or confirming once the employee informs them it is done.

3.2 When considering actions to be taken, Line Managers will take account of the following factors:

- Length of time since registration has lapsed;
- Reason (s) put forward for non-renewal;
- Whether the individual has knowingly continued to practice without registration and has failed to notify management;
- Any previous occasions when the individual has allowed their registration to lapse;
- Whether the individual has attempted to conceal the fact that their registration has lapsed.

3.3 The Line Manager in consultation with a HR representative should consider the following options and the response will depend on the individual circumstances:

- Allow the individual to take annual leave or time owing until their registration is renewed, within an agreed time frame;
- Allow the individual to take unpaid leave if no annual leave is available, or leave is planned;
- Where feasible, consider transferring the individual member of staff to another area within the organisation that offers a role that is of equal value, where professional registration is not required;
- Where feasible, temporary downgrade into a non-qualified post specific to service need;
- If no reasonable mitigation is forthcoming and registration is not in place Invoke disciplinary process, which may lead to suspending the individual from duty without pay.

4. Human Resources Responsibility

- 4.1 The Recruitment team will check current registrations of all new starters to ensure that it is valid for the purpose of the practitioner's employment.
- 4.2 The Recruitment team will ensure that the practitioner's registration details are placed on the ESR system. They will maintain the practitioner's registration on the ESR information system.
- 4.3 The Workforce Information team will check that all practitioners have renewed their registration. For those that have renewed their registration, their details will be updated on the electronic staff record.
- 4.4 For those that have not renewed their registration or re registered, the Workforce team will contact the individual, copying in the Line Manager, informing them that their registration is due for renewal and if that it is not renewed by the renewal date, then they will not be eligible to practice in that capacity and they may be suspended from duty without pay immediately as they are in breach of their contract.
- 4.5 Where a registration has not been renewed the Workforce team will contact the individual and Line Manager.
- 4.6 If after a maximum period of one month following the expiry of registration the individual has failed to notify the workforce service of their re-registration, there will be a final check after which it will be assumed that the individual has broken their contract and their employment will automatically cease. During this time there will obviously be discussions between the workforce service and appropriate manager as to whether contact has been made. Every effort will be made to facilitate the member of staff to re-register within the timescale set out in this policy

Appendix 4 - Disclosure of Criminal Background & Recruiting Ex-Offenders.

1. Principles

- 1.1 The CCG actively promotes equality of opportunity for all and welcomes applications from a wide range of candidates including those with criminal records. It undertakes not to discriminate unfairly against any subject of a disclosure on the basis of conviction or other information received.
- 1.2 Disclosures are only requested after an assessment has indicated that it is proportionate and relevant to the post concerned. For those posts that require a disclosure all adverts, recruitment briefs and application forms will contain a statement indicating what level of disclosure will be required in the event of an individual being offered a position. Decisions made in relation to disclosure requests will take into account posts covered by the exceptions to the Rehabilitation of Offender Act 1974.
- 1.3 The Recruitment team will advise and guide recruiting managers where a disclosure has been made.
- 1.4 The CCG undertakes to discuss any matters revealed in a disclosure with the person seeking employment, before withdrawing a conditional offer of employment.
- 1.5 The CCG may conduct an interview to enable an open and measured discussion to take place regarding any offences or other matters that might be relevant to the position. Failure to reveal information that is directly relevant to the position sought, could lead to the withdrawal of an offer of employment.
- 1.6 The CCG complies fully with the DBS code of practice. Every individual who is subject to a disclosure will be made aware of this code of practice and a copy will be provided to all applicants.
- 1.7 Having a criminal record will not necessarily preclude a potential employee from working with the organisation. This will depend on the nature of the position and the circumstances and background of the offence(s).
- 1.8 The CCG complies fully with the DBS code of practice regarding the correct handling, use, storage, retention and disposal of disclosures and disclosure information. Disclosure information will be securely destroyed as soon as the relevant information has been noted.
- 1.9 The CCG complies fully with its obligations under the Data Protection Act and other relevant legislation pertaining with the safe handling, use, storage, retention and disposal of disclosure information.
- 1.10 No disclosure information will be kept on personal files and where a disclosure needs to be kept due to a dispute or because additional information has been supplied it will be kept separately and securely in a non-portable, lockable storage unit.
- 1.11 Where disclosure information has been kept, it will be securely destroyed once the dispute is resolved or a decision has been made regarding employment or at the latest after 6 months.
- 1.12 Access to disclosure information is strictly controlled and limited to those who are entitled to see it as part of their duties.

- 1.13 For record purposes only the organisation will keep the following information:
- The name of the subject;
 - The level of the disclosure requested;
 - The position for which the disclosure was requested;
 - The unique reference number of the disclosure;
 - Details of the recruitment decision taken.
- 1.14 In accordance with section 124 of the Police Act 1997, disclosure information is only passed to those who are authorised to receive it in the course of their duties.
- 1.15 The CCG maintains a record of all people to whom disclosure and disclosure information has been revealed and the organisation recognises that it is a criminal offence to pass this information on to anyone who is not entitled to receive it.
- 1.16 Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given. The CCG will comply with all recommendations from DBS on the proper use and safekeeping of the disclosure information.

2. Procedure

- 2.1 Disclosure applications are processed by through the Disclosure Barring Service (DBS) to assess applicants' suitability for positions of trust.
- 2.1 When recruiting for a vacancy the Recruiting Manager needs to assess whether a DBS check is necessary and what level of disclosure is required. This should be done prior to advertising to enable the information to be included in the advert. Advice in relation to eligibility for disclosure requests should be sought from the recruitment team. Dependant on whether the role is eligible for a DBS disclosure the recruitment team will ensure that the appropriate question is asked on the NHS Jobs application form.
- 2.2 Once the preferred candidate has been selected the workforce service will send the applicant disclosure application form and guidance booklet with instructions that the completed form must be returned with any supporting documentation that has not already been provided at interview.
- 2.3 The disclosure application form will be verified and countersigned by one of the members of the Recruitment team who are registered with the DBS and sent for processing.
- 2.4 If the disclosure application contains information that may affect the appointment a HR representative will discuss this with the Recruiting Manager (in all instances), and the individual concerned where appropriate. Where the information contained on the disclosure application form significantly impacts on a candidate's ability to undertake the post for which they have been appointed, any offer of employment must be withdrawn. The decision to withdraw an offer of employment must be confirmed both verbally and in writing to the candidate concerned.

Appendix 5 - Equality Impact Assessment

Title of policy	Recruitment and Selection Policy		
Names and roles of people completing the assessment	Kym L Brearley, Equality and Diversity Advisor		
Date assessment started/completed	March 2018	04.04.2018	
1. Outline			
Give a brief summary of the policy	<p>The Recruitment and Selection Policy is designed to support Line Managers in providing a fair, consistent and effective approach to the recruitment of all employees, in accordance with employment law and best practice.</p> <p>The organisation actively promotes equality of opportunity for all and welcomes applications from a wide range of candidates.</p> <p>The organisation complies fully with the NHS Employment Check Standards and the Disclosure & Barring Service (DBS) code of practice and undertakes to treat all applicants fairly to ensure a fair process.</p>		
What outcomes do you want to achieve	For the policy to comply with statutory requirements, NHS Litigation Authority Standards and best practice.		
2. Analysis of impact			
This is the core of the assessment, using the information above detail the actual or likely impact on protected groups, with consideration of the general duty to; eliminate unlawful discrimination; advance equality of opportunity; foster good relations			
	Are there any likely impacts? Are any groups going to be affected differently? Please describe.	Are these negative or positive?	What action will be taken to address any negative impacts or enhance positive ones?
Age	<p>Yes, candidates of a younger age may potentially be adversely affected if the job advert, description or person specification states "x amount of years' experience".</p> <p>Interview panels may have explicit or unconscious bias about people who are, or are perceived to be, of a certain age (younger or older).</p>	Negative	<p>Including this statement in job adverts, job descriptions or person specifications would amount to unlawful discrimination. Job description templates are in place that do not use "x years of experience" in terms of language.</p> <p>The Policy states that interview panels will consist of a minimum of at least two of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.</p>

Carers	No		
Disability	<p>Yes, nationally disabled people are much less likely to be employed than non-disabled people</p> <p>Interview panels may have explicit or unconscious bias about people who are, or are perceived to have a physical, sensory, learning, mental health impairment, disability or long-term health condition.</p>	Negative	<p>The CCG operates a guaranteed interview scheme and the policy describes the grounds for taking positive action. The Policy ensures applicants can request reasonable adjustments during the recruitment and selection process.</p> <p>The Policy states that interview panels will consist of a minimum of at least two people of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.</p> <p>The CCG will use the national Workforce Disability Equality Standard when this is introduced in 2020. Equality monitoring can be used to check if there are any adverse trends and identify appropriate action.</p>
Sex	<p>Yes, interview panels may have explicit or unconscious bias about people based on their sex.</p>	Negative	<p>The Policy states that interview panels will consist of a minimum of at least two people of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.</p>
Race	<p>Yes, BME employees and job applicants experience significant inequalities across the NHS. They are under-represented and less likely to be appointed once shortlisted and report poorer experience at work.</p>	Negative	<p>The CCG Recruitment and Selection Policy is designed to support a fair, transparent and equitable recruitment and selection process and sets out the grounds for taking positive action.</p>

	There is potential for inequality arising particularly regarding ring fencing, acting up and appointing to a vacant post without advertising in order to replicate the staff profile currently in place. Interview panels may have explicit or unconscious bias about people who are, or are perceived to be from certain ethnic groups.		<p>The Policy states that interview panels will consist of a minimum of at least two people of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.</p> <p>The CCG is committed to making the most effective use of the Workplace Race Equality Standard as possible. Equality monitoring can be used to check if there are any adverse trends and identify appropriate action.</p>
Religion or belief	Yes, Interview panels may have explicit or unconscious bias about people who are, or are perceived to be, of a particular (or no) religion or belief.	Negative	The Policy states that interview panels will consist of a minimum of at least two people of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.
Sexual orientation	Yes, interview panels may have explicit or unconscious bias about people who are, or are perceived to be, of a particular sexual orientation.	Negative	The Policy sets out the grounds for taking positive action and states that interview panels will consist of a minimum of at least two people of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.
Gender reassignment	Yes, interview panels may have explicit or unconscious bias about people who are, or are perceived to be, of a particular gender identity, undergoing gender reassignment or in transition.	Negative	The Policy states that interview panels will consist of a minimum of at least two people of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.

Pregnancy and maternity	Yes interview panels may have explicit or unconscious bias about females who are, or are perceived to be, are, or are likely to be pregnant or have children.	Negative	The Policy states that interview panels will consist of a minimum of at least two people of whom must have undertaken the CCGs Recruitment and Selection Training. This should address discrimination and unconscious bias regarding applicants from protected groups.
Marriage and civil partnership	No		
Other relevant group	Yes – potential and existing employees	Negative	None identified. The CCG needs to consider what process it will put in place for potential and existing employees who wish to complain because they feel they have been treated unfairly in relation to application of this policy.
4. Monitoring, Review and Publication			
If any negative/positive impacts were identified are they valid, legal and/or justifiable? Please detail.	<p>Mitigating actions are identified for most equality groups who may be adversely affected in the application of this Policy. The CCG has an external and internal complaints process for candidates who wish to raise a complaint about the fairness of the CCG recruitment and selection process. The policy is acceptable to all employees and adheres to the NHS Litigation Authority Standards, statutory requirements and best practice.</p> <p>The policy provides a clear and equitable process for all candidates and prospective employees.</p>		
How will you review/monitor the impact and effectiveness of your actions	Recruitment statistics are monitored against the protected groups as necessary. Training and support is provided to Line Managers to ensure they follow sound recruitment and selection processes.		
Lead Officer	Tazeem Hanif	Review date:	01.04.2021
Sign off			
Lead Officer	Kym L Brearley		
	Date approved:	04.04.2018	