

<b>RECRUITMENT &amp; SELECTION POLICY (Incorporating policy on recruitment checks to protect children and vulnerable adults)</b>	<b>Type: POLICY Register No: 04005 Status: Public</b>
--	---

Developed in response to:	Best practice, Business need, Legislative requirements
CQC Fundamental Standard:	17 & 19

<b>Consulted With:</b>	<b>Post/Committee/Group:</b>	<b>Date:</b>
Staff Side Chair and Secretary, Trust Managers	Policy Sub-Group	21 <sup>st</sup> March 2018

<b>Professionally Approved By:</b>		
Peter Waller-Flynn	Head of Human Resources	June 2018

Version Number	7.0
Issuing Directorate	Human Resources
Ratified by:	DRAG Chairmans Action
Ratified on:	18 <sup>th</sup> June 2018
Executive Board Date	August 2018
Implementation Date	17 July 2018
Next Review Date	May 2021
Author/Contact for Information	Peter Waller-Flynn, Head of Human Resources
Policy to be followed by (target staff)	All MEHT Staff
Distribution Method	Intranet & Website
Related Trust Policies (to be read in conjunction with)	04001 Equality & Diversity Policy 04015 Professional Registration Policy 07063 Conflict of Interest Policy AFC Starting Salary Guidelines 11018 Safeguarding Children Policy 08034 Safeguarding Vulnerable Adults Policy 10024 Use of Temporary Staff Policy 08079 Induction Policy 07062 Organisational Change Policy Recruitment Guidelines Employment Protection policy 11053 Volunteers Policy

**Document Review History:**

<b>Version No:</b>	<b>Reviewed by:</b>	<b>Issue Date:</b>
1.0	Nick Groves	August 1997
2.0	Heather Taylor	May 2006
3.0	Sue Coleman	January 2008
4.0	Helen Clarke/Kay Rainsby updated to reflect NHSLA monitoring requirements	April 2011
4.1	Kay Rainsby	September 2011
5.0	Kay Rainsby updated to reinforce use of pre-employment checks checklists	May 2012
6.0	Heather Hardy	November 2014
6.1	Heather Devenish	2015
6.2	Kate Leeke added Section 22 – Counter Fraud	18 July 2017
7.0	Peter Waller-Flynn – full review	17 July 2018

## Index

- 1.0 Purpose**
  - 2.0 Aims**
  - 3.0 Scope**
  - 4.0 Policy Principles**
  - 5.0 Employee/Prospective Employee Responsibilities**
  - 6.0 Human Resources Responsibilities**
  - 7.0 Recruiting Manager Responsibilities**
  - 8.0 Safeguarding Children and Vulnerable Adults**
  - 9.0 Vacancy Approval**
  - 10.0 Job Descriptions, Person Specifications and Competency Outlines**
  - 11.0 Advertising Vacancies**
  - 12.0 Shortlisting**
  - 13.0 Interviews**
  - 14.0 Conditional offer of appointment**
  - 15.0 Pre-Employment Checks**
    - 15.2 Employment History and Reference Checks
    - 15.3 Proof of Registration and Qualification Checks
    - 15.4 Right to Work Checks
    - 15.5 Disclosure and Barring Services Checks
    - 15.6 Occupational Health Checks
    - 15.7 Verification of Identity Checks
  - 16.0 Unsatisfactory Checks**
  - 17.0 Checks on Bank Workers and Agency Workers**
  - 18.0 Formal offer of appointment**
  - 19.0 Equality and Diversity**
  - 20.0 Monitoring**
  - 21.0 Communication**
  - 22.0 Counter Fraud**
- 
- Appendix 1 - Verification of Identify Checks - Documentation
  - Appendix 2 - Right to Work Documentation
  - Appendix 3 - Policy Statement on the Secure Storage handling, use retention and disposal of disclosures and disclosure information.
  - Appendix 4 - Policy Statement on the recruitment of ex-offenders
  - Appendix 5 - DBS - Risk Assessment for starting without receipt of full DBS clearance
  - Appendix 6 - Process for dealing with positive disclosures
  - Appendix 7 - EIA Assessment

## **1.0 Purpose**

- 1.1 The purpose of this Policy is to provide the framework within which recruitment and selection of staff is undertaken within Mid Essex Hospitals NHS Trust. All processes and procedures relating to this Policy should be based on best practice and be evidence based.

## **2.0 Aims of the Policy**

- 2.1 This Policy ensures that all procedures are carried out in a fair, equitable, transparent way ensuring public protection, which will attract and maintain a workforce which is representative of the community of which it is part.
- 2.2 The Trust will recruit staff that have the necessary skills, expertise and qualifications that will contribute to driving forward the Trust's work as a provider of Acute Health Services.

## **3.0 Scope**

- 3.1 This policy applies to all Mid Essex Hospital Services NHS Trust employees, prospective employees, contractors and associated workers including those moving internally within posts.
- 3.2 The principles of this Policy will apply to all posts, irrespective of staff group or seniority, and whether permanent, temporary, fixed term, secondment, acting up, bank or agency.

## **4.0 Policy Principles**

- 4.1 All processes and procedures should aim to minimise the time between the vacancy arising and it being filled.
- 4.2 All processes and procedures must meet the requirements of current employment legislation, Department of Health guidelines, Trust Governance and diversity, equality and inclusion requirements.
- 4.3 All staff involved in the processes and procedures covered by this policy must consider whether their family and other personal relationships create any actual or potential conflicts. For further information please refer to the Conflict of Interest Policy.
- 4.4 The recruitment and selection procedures will clearly outline the responsibilities of the participants within the recruitment process.

## **5.0 Employees/Prospective Employee Responsibilities**

- 5.1 An existing employee who has applied for another position or a prospective employee has a responsibility to ensure their application form and DBS disclosure form (if appropriate for role) are completed appropriately, supplying any additional documentation, i.e. certificates, passport, work permits, evidence of relevant

registrations, certificates etc chasing outstanding references and attending Occupational Health appointments if required.

## **6.0 Human Resources Responsibilities**

6.1 The Human Resources and Recruitment Teams will provide training on the general principles of recruitment and selection, advice, guidance and support to managers so that:

- Job descriptions, person specifications, competency frameworks and recruitment advertisements are drafted in such a way as to make clear the requirements of job vacancies
- Staff involved in recruitment and selection are aware of their role and responsibilities in this area including safer recruitment and recruiting without discrimination.

6.2 The Recruitment Team are responsible for placing adverts within the agreed timescales, arranging for applications to be available for short listing and inviting candidates for interview. The team will also be responsible for carrying out all pre-employment checks excluding qualification checks (refer to 7.0 below) prior to appointment, complete a check list on each piece of recruitment activity and log this on the tracking database.

## **7.0 Recruiting Managers Responsibilities**

7.1 Recruiting Managers are responsible for providing an up to date job description and person specification, advert text and competency outline; carrying out the short listing of applicants, arranging suitable facilities in which to interview, interviewing applicants, providing any tests that are required, checking evidence of qualifications, checking appropriate referees on application form and appointing the best person for the job.

7.2 Recruiting Managers will retain recruitment and selection records of unsuccessful candidates for 12 months after which time all papers will be destroyed as confidential waste as per the Trust's Waste Policy. The records will be kept in accordance with the provisions of the Data Protection Act, i.e. in a secure and locked cabinet.

7.3 Recruiting Managers are responsible for the appointment of staff to vacancies in their area. They are also responsible for contacting unsuccessful candidates following the interview, giving feedback if requested. This includes the requirement to contact the candidate to withdraw any offers of conditional employment where pre-employment checks are found not to meet the relevant standards required by the Trust or under statutory provision.

7.4 The Recruiting Manager is responsible for ensuring that all panel members involved in their recruitment campaign are aware of their responsibility to behave in a non-discriminatory manner. The processes and procedures will be equitable, fair and auditable and applicants are treated with courtesy and respect throughout all processes and confidentiality will be maintained.

## **8.0 Safeguarding Children and Vulnerable Adults**

This policy has been written in conjunction with the requirements of the Safer Recruitment and Employment Standards (section 14.7) as set out by the Essex Safeguarding Children Board and the Safeguarding Adults Guidelines determined and agreed with the Southend, Essex and Thurrock (SET) Safeguarding Board. Full details of the standards may be found at [www.escb.org.uk](http://www.escb.org.uk). A summary of the requirements is set out at Appendix 6.

## **9.0 Vacancy Approval**

- 9.1 Vacant posts will be reviewed by the budget holder prior to the recruitment process to ensure that the post reflects any strategic or local changes in skill mix or demand.
- 9.2 In all cases an Authority to Recruit form (ATR) must be completed by the Recruiting Manager. This form is available on Trac. The form must be completed in full and be accompanied by a job description and person specification as well as details of the advert text. The completed form should be signed off and include the Associate Director of Nursing, Finance and Associate Director's approval. Incomplete forms will not be granted which may cause a delay in the process.
- 9.3 The vacancy will be taken by the Recruitment Team Leader to the Vacancy Control Panel, for review and to provide necessary authorisation. The Group meet on a weekly basis.
- 9.4 The Recruitment Team will then arrange for the vacancy to be placed on NHS jobs within the agreed timescales.
- 9.5 Where Recruiting Managers wish to establish a new post in their establishment, the 'Authority to Invest' process will need to be followed. Recruiting Managers will need to contact the Capital and Costing Finance Manager for a copy of the business case template form. The form will need to be completed and returned to the Capital and Costing Finance Manager, who will then take the business case to the next available Investment Group meeting for approval. The Group meet every two weeks.

## **10.0 Job Descriptions and Person Specifications & KSF Outlines (Knowledge Skills Framework)**

- 10.1 The Recruiting Manager will review all job descriptions, person specifications and competency outlines to ensure that they accurately reflect the requirements of the post. If significant changes are necessary, the relevant HR Manager should be consulted before submission to the review panel.
- 10.2 The job description will define the main duties and responsibilities of the post and outlines reporting relationships. The person specification will identify the skills, knowledge, experience and attributes required of the successful candidate to ensure the job is carried out effectively. Recruiting Managers must ensure that they do not unreasonably restrict the potential pool of applicants.

- 10.3 The person specification template provides the candidate with information as to how each element will be evidenced during the recruitment process. Job Description and person specification templates can be found on the intranet under HR documents.
- 10.4 KSF outlines must accompany each set of job information. The outlines will have been developed by the line manager in conjunction with the HR Manager and details skills and competencies for the role. The competency outline will help in determining training needs and objectives at the annual appraisal.

## **11.0 Advertising Vacancies**

- 11.1 In the first instance, **all vacant posts** will be advertised externally on Trac website ([www.healthjobs.com](http://www.healthjobs.com)). and the NHS jobs website ([www.jobs.nhs.uk](http://www.jobs.nhs.uk)) This also includes advertising externally vacant posts that may have been covered by internal 'acting up' arrangements, or temporary/fixed term contracts. The only exceptions to this is if a recent advert, which is the same job role and band as the vacant post produced an unsatisfactory response, then internal advertising may be appropriate. Also, if the position is in an area or skills set where staff are at risk of redundancy, the job will be advertised internally in line with the MEHT Organisational Change Policy.
- 11.2 Hard to fill vacancies may also be advertised in external publications.
- 11.3 All Consultant posts will be advertised in the British Medical Journal in accordance with Statutory requirements.
- 11.4 In the event that posts remain unfilled following two on-line campaigns, consideration will be given to advertising in the external media. Any posts advertised in external publications will be advertised through appropriate media agreed by the advertising budget holder. All costs for external media advertising will be met by the Recruiting Manager. The HR Department do not hold a budget for external advertising.
- 11.5 Recruiting managers are responsible for writing suitable advertisement text that must be designed to attract those applicants whose experience, qualification and skills match the requirement of the job and eliminate those who do not. Advice can be sought from the Human Resources Department.
- 11.6 Any international recruitment will be undertaken in accordance with the NHS Employers Code of Practice for International Recruitment of Healthcare Professionals available at [www.dh.gov.uk/publications](http://www.dh.gov.uk/publications).

## **12.0 Short Listing**

- 12.1 All short listing is undertaken on Trac. Short listing is undertaken on-line and should be carried out by at least two people. Recruiting Managers are responsible for shortlisting candidates for interview using set criteria to assess the suitability of each person from the person specification. The criteria should be applied consistently and objectively to all applicants. Candidates who do not meet the essential criteria should not be shortlisted.

- 12.2 Any notes outlining why candidates have not been selected should be retained for 12 months in accordance with the Data Protection provisions (i.e. locked cabinet) as it may be necessary to disclose these to individual applicants and/or as evidence should a claim of unlawful discrimination be made.
- 12.3 All shortlisted candidates will be offered the opportunity of an interview. Any candidate applying under the Job Interview Guarantee scheme and who meets the essential criteria of the post must be offered an interview.
- 12.4 Where possible, references will be taken up prior to interview. References that are received will not be considered until the decision to appoint has been made. In accordance with the Equality Act 2010, information provided in relation to an applicant's medical history, sickness record or disability will not be considered prior to any conditional offer of appointment being made.

### **13.0 Interviews**

- 13.1 At least one panel member must have undertaken the Trust's Equality & Diversity training programme and is competent in interviewing and selection techniques, and one panel member must have participated in the Trusts Safe Recruitment and Selection Training. In the event that the panel composition does not meet these criteria then advice must be sought from the HR Team.
- 13.2 All interview panel members must carry out their responsibilities in accordance with the Trust's Recruitment and Selection Policy and Equality and Diversity Policy.
- 13.3 The Recruiting Manager will arrange a venue for the interviews ensuring it will be free from interruptions, private and a suitable for purpose.
- 13.4 The aim of the interview is to select the best candidate for the post. It is a two way process during which the details of the post can be discussed and the candidate's suitability assessed. To ensure equity and consistency, all candidates will be asked a core set of questions. Interviewers will endeavour to ask all candidates a similar set of questions linked to experience and skills. This does not preclude interviewers asking specific factual questions relating to information declared within a candidate's individual application.
- 13.5 Recruiting managers are responsible for checking the necessary paperwork relating to candidates eligibility to work in the UK including checking passports and other relevant information. Where applicable, recruiting managers must also verify original paperwork relating to DBS checks if not on the Broomfield Site. All successful candidates will be invited for pre-employment check.
- 13.6 Notes will be taken at the interview by all panel members and kept with the applications.
- 13.7 Candidates will not be reimbursed for travelling expenses to attend interviews except at the discretion of the recruiting division when this may be covered by local budgets

## **14.0 Conditional Offers of Appointment**

- 14.1 Following interviews, the panel will make a decision and the panel chair will contact the successful applicant to verbally offer the post. The verbal offer must be made conditionally subject to the receipt of satisfactory clearances – references, occupational health and DBS for all posts, evidence of qualifications and proof of registration where appropriate. The Recruiting Manager must check the candidate has given appropriate referees on their application form. The Recruiting Manager is responsible for informing unsuccessful candidates and provide appropriate feedback.
- 14.2 Starting salaries will be decided according to the Agenda for Change Terms and Conditions Handbook and/the MEHT Starting Salary Guidelines, available under HR on the MEHT intranet.
- 14.3 Recruiting managers will need to be able to confirm that appropriate workspace and facilities will be available by the date the appointee commences.

## **15.0 Pre-employment Checks**

- 15.1 All pre-employment checks will be carried out in accordance with the NHS Employment Check Standards which are mandatory for all applicants for NHS positions (prospective employees) and staff in on-going NHS employment. This includes permanent staff, staff on fixed term contracts, volunteers, students, trainees, contractors, highly mobile staff and staff supplied by an agency. The checks carried out and documented on the relevant checklist will include the following as a minimum:
- Employment History and Reference Checks
  - Verification of Identity Checks
  - Right to Work Checks
  - Professional Registration and Qualification Checks
  - Occupational Health Checks
  - Disclosure and Barring Service checks

## **15.2 Employment History and Reference Checks**

- 15.2.1 At least two references will be taken up for external candidates who are new to the Trust. References will cover at least 3 years of previous employment and/or training, one of which will be from the applicant's current/most recent employer. One reference may be sufficient where an individual has been with an employer for 3 years or more.
- 15.2.2 Only one reference will be required for internal candidates.
- 15.2.3 The Recruiting Manager must check the candidate has given appropriate referees on their application form.
- 15.2.4 Where applicants have not previously been employed or have been in full time education, relevant referees will include a current or recent academic tutor, and/or person of Good Standing who can provide, as a minimum, a character reference. In

the event that no suitable referee can be provided, a decision will have to be made on a case by case basis on the continuation of the recruitment dependent on the role and context of the employment it relates to.

15.2.5 References will generally be taken up post interview and with the candidates agreement at the point a conditional offer is being made. In the event that references are sought prior to interview, this should be undertaken with the candidates consent. Any information contained in any reference received prior to interview will not be considered for the purpose of making a decision about suitability prior to a conditional offer of appointment being made. Verbal references are acceptable in circumstances where information is needed quickly however these should be followed up with a written, signed reference from the referee.

### **15.3 Proof of Registration and Qualification Checks**

15.3.1 Proof of current registration to relevant Professional bodies will be required. In addition to the documentary proof of registration, the Recruitment Team will in all cases, where registration with a professional body is an essential criteria for the role, check the appropriate website for confirmation of live registration. Where an applicant fails to meet this criterion, the Recruitment Advisor will take further advice from the HR Manager and in conjunction with the Recruiting Manager take appropriate action to withdraw any offer and investigate the non-registration. For further guidance managers should refer to the MEHT Professional Registration Policy.

15.3.2 If a qualification is essential for the position, the Recruiting Manager will be responsible for ensuring the appropriate and genuine certificates are provided and will undertake to check the validity of these at interview by;

- Request original certificates and take copies
- Check that the details on certificates match those the prospective employee provides as part of their application
- Contact the awarding body directly, where possible to confirm the applicant's attendance, course details and grade awarded.

15.3.3 If confirmation is not received this will delay joining or ultimately the conditional offer will be withdrawn

15.3.4 If a prospective employee has gained their qualifications overseas, recruiting managers in conjunction with the HR department 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 be carried out directly with the awarding institution where possible. Where this is not possible advice should be sought from the relevant country's UK embassy, consulate or high commission. Further advice and contact details can be found on the security industry authority website at [www.the-sia.org.uk](http://www.the-sia.org.uk) and the foreign and commonwealth website at [www.fco.gov.uk](http://www.fco.gov.uk)

15.3.5 All Non- EU Registered Nurses entering the UK to take up a nursing role have up to three months from the employment start date noted on the certificate of sponsorship (CoS) to sit the OSCE exam. During this period they can be legally employed as a pre-

registration candidate. Failure to obtain the OSCE will result to the nurse returning to country of Origin.

15.3.6 If there is any doubt that the qualifications are genuine, contact the National Academic Recognition Centre (NARIC) at [www.naric.org.uk](http://www.naric.org.uk)

15.3.7 In all cases Bank Workers and Agency Workers will have their registration and qualifications checked prior to their attending for an assignment. This will be noted on the appropriate pre-employment check check-list and signed off by a member of the Bank team or in the case of medical staff by a member the Medical Staffing Team.

## **15.4 Right to Work Checks**

15.4.1 Every potential employee to the Trust must provide evidence to verify their identification and the legal right to work in the UK. This requirement will be carried out in strict accordance with the legal requirements and in a fair and equitable manner in accordance with the Trust's Equality and Diversity Policy.

15.4.2 In accordance with the Asylum and Immigration and Nationality Act (2006) the Trust will request 'right to work documents', validate the documents and will copy and store any documents provided by the prospective candidate/employee.

15.4.3 It is the responsibility of the candidate to provide evidence of eligibility to work in the UK and this evidence will be checked by a member of the recruitment team for every candidate appointed to the Trust. Evidence must be provided in accordance with the requirements of the Asylum and Immigration and Nationality Act (2006) and documentation will be obtained in accordance with the lists provided by the Home Office. Tier II Work permits requiring employer sponsorship can be obtained for some professionally qualified candidates in areas of specialty where there is a recognised shortage. These can be subject to change from time to time and the criterion is decided by the Department for Work and Pensions. Where there is a work permit requirement, an employer sponsorship application will not be made until all clearances have been received.

15.4.4 Potential employees requiring a Work Permit (Tier II) will be required to cover the cost of the work permit. Initial payment will be made by the Trust, however this will be recovered from salary by agreement.

15.4.5 Employees with existing work permits already employed by the Trust who move between posts during the course of their employment must make a new application for leave relative to the new role. It is the responsibility of the employee to ensure that any work permit restrictions are identified during the recruitment process by declaring this in the relevant section on the application form.

## **15.5 Disclosure and Barring Service**

15.5.1 The Disclosure and Barring Service (DBS) provides access to information about criminal convictions and other police records to assist employers make informed decisions when recruiting staff.

15.5.2 The DBS provides a total of four levels of disclosure (see below). DBS disclosures are mandatory for all staff that, as part of their appointment, will have regular contact with patients in the course of their normal duties.

15.5.3 The recruiting manager, in conjunction with HR, should identify the level of disclosure required as follows:

- **Standard Disclosures** are required for posts where the type of work enables the person to have access to persons, in receipt of such services, in the course of their normal duties. The term 'access' only relates to where the individuals have direct, physical contact with patients as part of their day to day activities, it does not include positions where there is no contact with patients.
- **Enhanced Disclosures** are required for posts which involve regularly caring for, supervising, training or being in sole charge of children and / or vulnerable adults.
- **Enhanced Disclosures with Barred List Information** are required for those posts that are engaged in 'regulated activity'. The Child Barred list information is only available for those individuals engaged in regular activity with children, and the Adult Barred list is only available for those individuals engaged in regulated activity with adults. Where individuals are engaged in regulated activity with both vulnerable groups, both lists will be checked.
- **Adult First** an individual can be checked against the DBS adult barred list while waiting for the full DBS check to be completed.

15.5.4 A self declaration of unspent criminal convictions, cautions, reprimands and warnings must be obtained from all applicants, which is included on the application form. In the case of posts that are exempt from the Rehabilitation of Offenders Act, (Generally those that require DBS disclosure) this will extend to spent convictions as well. If unsure, advice should be sought from HR.

15.5.5 Staff should not commence in post until a satisfactory DBS disclosure report (where a requirement of the post) has been received. Prospective employees will be required to show their disclosure report to the Recruitment Team, (who will take a copy) as part of the pre-employment checking process. However, in exceptional circumstances, in discussion with HR, and by agreement with the relevant Director, managers who wish to start a person prior to receipt of DBS disclosure, must ensure that the candidate completes an interim declaration. The interim declaration form is available through HR.

15.5.6 Doctors on educationally-approved rotational training are regarded as being in continuous employment during the term of training and are therefore required to have a DBS check, as a minimum, once every three years, rather than each time they change rotation. Written assurances will be sought from the previous employer that appropriate DBS clearance has been obtained within the last three years.

15.5.7 For prospective employees who live overseas, or have never lived in the UK, or have spent a period of six months or more living overseas in the last five years prior to their employment application, a certificate of good conduct or an overseas police check will be required from that country. Where the position meets the criteria for a DBS check, even if the applicant has never lived in the UK, a DBS check will be obtained to verify that they have no criminal history in the UK.

15.5.8 For existing members of staff who are appointed to new job through the internal recruitment process, a DBS check will be required where:

- The individual has never had a criminal record check before and is moving into a position that requires them to have a check;
- The new position significantly changes the individual's role, responsibilities, or level of contact with vulnerable groups i.e. involvement in a regulated activity which requires a different level of check, or a check against one or both barred lists.

15.5.9 All staff are required to report any convictions, cautions, reprimands or warnings that occur during the span of their employment, whether at home or abroad, within 5 working days of the event, or in extenuating circumstances, as soon as is reasonably possible. Failure to do so will be treated as a disciplinary offence and may result in dismissal. All staff are required to report any police allegations against them during the course of their employment.

15.5.10 Use of a previous DBS disclosure is not recommended. However, in some exceptional circumstances and in agreement with HR and the relevant head of service it may be accepted. In making a decision, consideration will be given to how long ago the previous disclosure was done (e.g. very recently, within the last few weeks) and whether it is at the correct level i.e. standard or enhanced.

15.5.11 Access to disclosure information will be limited to persons who need to access it in the course of their duties. The Trust will adhere to the DBS Code of Practice when handling and storing disclosures. **The Policy Statement for Disclosure Handling and Storage** is at Appendix 3.

15.5.12 The suitability of a person with a criminal record will vary, depending on the nature of the position. An assessment of the applicant's skills, experience and conviction circumstances should be weighed up against the level of risk, or the opportunity to cause damage in that position.

- The process for dealing with positive disclosures is at Appendix 6.
- A Policy Statement on the recruitment of ex-offenders is at Appendix 4
- A copy of the DBS Risk Declaration Form is at Appendix 5

## 15.6 Occupational Health Checks

15.6.1 All staff including persons previously employed by the Trust, existing staff who are short listed for alternative posts within the Trust and persons registering for work through the Bank Team will be required to complete a Health at Work Questionnaire and be declared as fit to undertake the role they have applied for.

- 15.6.2 Occupational health checks should be made once a job offer has been made. Any offer made will be expressly documented as being conditional pending the completion of pre-employment checks including an occupational health check.
- 15.6.3 All checks will be undertaken in accordance with the Equality Act and associated legislation including the Disability Discrimination Act 1995 and reasonable adjustments will be made to ensure that people can work at MEHT in appropriate roles, regardless of physical impairment or learning disabilities.
- 15.6.4 The occupational health department will advise the Recruiting/Line Manager of any necessary adjustments required should health issues be identified in accordance with the Equality Act. Where it is identified that a candidate is declared not fit to undertake the role in question, the Occupational Health Advisor, Recruiting Manager and a member of the Recruitment Team should discuss the necessary actions and in the event that an offer of employment is withdrawn, notifying the candidate should be undertaken by the Recruiting Manager or Occupational Health Advisor.
- 15.6.5 All pre-employment checks will be carried out prior to commencing employment. Appropriate checks will be carried out for all existing Trust staff when they move to another role, and where staff previously employed on a Bank contract join the Trust as a substantive member of staff. All checks must be satisfactory to the Trust.

## **15.7 Verification of Identity Checks**

- 15.7.1 The Centre for the Protection of National Infrastructure (CPNI) regards identity verification as the most fundamental of all pre-employment checks. It should be the first check performed and an application will not progress until the Trust is satisfied that a person's identity is proven.
- 15.7.2 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 owns and is rightfully using that identity.
- 15.7.3 Recruiting managers will be responsible for ensuring that documents are checked prior to interview at a face to face meeting.
- 15.7.4 All documents provided must be photocopied and retained on file. The person taking the copy must sign and date the copy to show it has been certified.
- 15.7.5 Documents must be original, or copies of originals certified by a solicitor.
- 15.7.6 Checks should be made on following: full name – forenames and last name; signature; date of birth; full permanent address.
- 15.7.7 Where a signature has not been previously provided, for example because of an e-application, the individual should be asked for it at interview for checking against relevant documentation.

Prospective employees will need to provide either:

- Two forms of photographic personal identification and one document containing their address, or

- One form of photographic personal identification and two documents confirming their address

15.7.8 If an individual seems genuinely unable to provide photographic personal identification, advice should be sought from HR.

15.7.9 Acceptable forms of ID are listed at Appendix 1. Guidance will be also included in interview packs for managers. Documents should be checked for authenticity. Further guidance is available from HR and at [www.nhsemployers.org/employmentchecks](http://www.nhsemployers.org/employmentchecks)

## **15.8 Documentation of checks undertaken / requested**

- For all substantive Trust appointments, a pre-employment checklist documenting the date of request for information relating to pre-employment checks and receipt of the requested information will be completed for each potential employee. It is the responsibility of the relevant recruitment teams (Generic, Medical, Bank) to ensure these are satisfactorily completed for each candidate prior to commencing employment. The relevant checklists should be signed off and retained on the candidates file for onward sending to the line manager.
- The checklist master template is held within HR recruitment and may be subject to amendment between policy revisions. Any amendments must be approved by the Head of HR Delivery.
- Section 17 of this policy details the documentation and process required for gaining assurance for pre-employment checks of all Agency Workers.

## **16.0 Unsatisfactory Checks**

16.1 If for any reason the checks appear unsatisfactory, further investigation/discussion will take place between a member of the Recruitment Team and the Recruiting Manager before any decision to withdraw the offer of employment is taken. It is the responsibility of the Recruiting Manager to contact the candidate to withdraw any offers of conditional employment where checks are found not to meet the relevant standards required by the Trust or under statutory provision.

## **17.0 Checks on Bank Workers/Agency Staff**

17.1 Assurances on the pre-employment status of all individuals working through an approved agency must be provided by the relevant agency prior to the commencement of any agency worker at the Trust. This includes all 6 of the pre-employment checks as detailed in section 15 of this policy, where applicable.

17.2 Agencies contracted to provide staff to the Trust must be required to undertake the necessary checks within the provisions of the Government Procurement Service Framework Agreement. All Agencies utilised by the Trust should be contracted under the Government Procurement Service Framework (GPSF).

- 17.3 The Trust will require all agencies to utilise the pre-employment checks checklist and will provide copies of the relevant checklist for the agency supplier to retain. The Trust will provide updated and amended copies of the relevant checklists as required. The checklist templates may be subject to amendment between policy revisions. Any amendments must be approved by the Head of HR. Copies of the most current template checklists will be retained centrally by the HR Operations Team and may be accessed through the shared electronic folder.
- 17.4 Medical Locum Agencies and other external agencies providing staff to the Trust will provide a completed check list for each confirmed booking/assignment which will detail the pre-employment clearances provided. The checklists will be reviewed by the relevant administrator within the Trust (Bank Staff or Medical Staffing ) to ensure compliance. Contractors persistently failing to meet the required standards should be notified to the GPS and recommendation should be made that they are removed from the approved lists.
- 17.5 Where assurance is not provided either by the non-provision of a completed checklist, missing information or where there are concerns raised regarding the validity of information provided, the relevant team should refer back to the agency supplying the incomplete information. If the relevant assurances are not received, the agency worker should not be booked.
- 17.6 On request, and as part of the Trust's internal audit process, Agencies should provide copies of their internal audits of pre-employment checks as required under the GPS Agreement.

## **18.0 Formal Offer of Appointment**

- 18.1 When all satisfactory clearances have been received and recorded on the candidate checklist, the Recruitment Advisor will verbally agree with the candidate a start date and confirm starting salary and other relevant starting information and then inform the Recruiting Manager. A formal offer of appointment will be made in writing and forwarded by the Recruitment office to the successful candidate. The prospective employee will be invited to attend the Trust mandatory Induction or report to the HR Reception to sign their contract employment, complete an SWA (staff appointment form) on their start date. They will also be given their Pension Guidelines.
- 18.2 For posts classified as 'regulated activity' and where there is potentially an extensive delay with DBS clearance the Recruiting Manager is responsible with the HR Departments assistance whether they wish the applicant to join subject to DBS clearance. In these circumstances, the line manager must provide written proof that a relevant risk assessment has been carried out to identify the potential hazards and recommend the control measures that will be put in place to manage this, which may include working under supervision. Any offer of employment made will clearly be made "subject to satisfactory DBS clearance". If this is not received, the contract will be withdrawn and the employment will end. These arrangements can only be considered for those areas not directly involved in the care of children, including Midwifery, and vulnerable adults.

18.3 It is the responsibility of the Recruitment Advisor to contact the successful candidate to give them the details of arrangements for the first day of work and to ensure a suitable programme of local induction is in place. For further information refer to the MEHT Induction Policy.

## **19.0 Equality and Diversity**

19.1 Mid Essex Hospital Services NHS Trust is committed to the provision of a service that is fair accessible and meets the needs of all individuals. All recruitment and selection processes and procedures should be socially inclusive and should not unlawfully discriminate against anybody on the basis of their race, colour, nationality, ethnic or national origins, religious belief, sex, sexual orientation, marital status or disability. Nor should people be excluded or receive unwarranted discrimination on the grounds of age or political affiliation.

19.2 An equality impact assessment, specific to this guidance, can be found at Appendix 7

## **20.0 Monitoring**

20.1 An annual audit of a sample of new starters and internal promotions or moves across all staff groups will be carried out by the Trust's internal auditors.

20.2 As a minimum the audit will assess completion of all relevant pre-employment checks and safe recruiting processes for permanent and temporary staff and the follow up process for staff who fail to satisfy the checking arrangements.

20.3 The findings of this audit will be reported to the Audit Committee and subsequently to the Patient Safety and Quality Committee.

20.4 Where poor compliance is identified, actions will be developed with timescales and named leads and implementation monitored at subsequent Audit Committee meetings. More frequent audit may be undertaken where compliance is poor.

20.5 A summary of the findings of the audit will be disseminated to the relevant Recruitment Teams.

20.6 Datix forms will be completed by the Human Resources Department where harm has occurred as a result of non-compliance of this policy and procedure. An investigation will be then be conducted to identify the issues, and subsequent actions will be agreed and implemented.

## **21.0 Communication**

21.1 Staff will be made aware of this policy via Staff Focus and HR Focus. The document will be stored for access to all on the Trust Intranet under HR Policies and on the Trust website.

## **22.0 Counter Fraud**

- 22.1 Employees alleged to be involved in fraudulent activity may render themselves liable to disciplinary action, including termination of employment.
- 22.2 Employees must be aware that failure to provide a true declaration when asked by the Trust, or the making of a false declaration, could result in an investigation by the Local Counter Fraud Specialist which could lead to disciplinary and/or criminal/civil action.

## Appendix 1

### Verification of identity checks - documentation

- **Acceptable photographic personal identification includes:**

Current UK (Channel Islands, Isle of Man or Irish) passport or EU/Other nationalities passport

Passports of non EU nationals, containing UK stamps, a visa or a UK residence permit showing the immigration status of the holder in the UK \*

A current UK (or other EU/other nationalities) photo-card driving licence (provided that the person checking is confident that non-UK photo-card driving licences are bona fide)

A national ID card and/or other valid documentation relating to immigration status and permission to work\*

Any document that is not listed above (i.e. an organisational ID card) is not acceptable.

\*For further information on immigration, please refer to the Right to Work checks document of the NHS Employment Standards Checks

- **Acceptable confirmation of address documents include:**

Recent utility bill (gas, electricity or phone) or a certificate from a supplier of utilities confirming the arrangement to pay for the services on pre-payment terms (note: mobile telephone bills should not be accepted as they can be sent to different addresses). Utility bills in joint names are permissible\*

Local authority tax bill valid for the current year\*

Current UK photo-card or old style driving licence (if not already presented as a personal ID document)

Bank, building society or credit union statement or passbook containing current address

Most recent mortgage statement from current lender\*

Current local rent card or tenancy agreement\*

Current benefit book or card or original notification from the Department of Work and Pensions (DWP) confirming the rights to benefit

Confirmation from electoral register search that a person of that name lives at the claimed address\*

Court order\* The date on these documents should be within the last six months (unless there is good reason for it not to be, e.g. clear evidence that the person was not living in the UK for six months or more) and they must contain the name and address of the applicant.

## **Appendix 2**

### **Right to Work Documents**

Employers must see the original document/s specified from one of the points from List A. If the individual cannot provide documents from this list, ask for documents from List B.

#### **List A**

A passport showing that the holder, or a person named in the passport as the child of the holder, is a British citizen of the United Kingdom and Colonies having the right of abode in the UK.

A passport or national identity card showing that the holder, or a person named in the passport as a child of the holder, is a national of a EEA country or Switzerland.

A permanent residence card issued by the Home Office or the BIA to the family member of a national of an EEA country or Switzerland.

A Biometric Immigration Document issued by the BIA to the holder which indicates that the person named in it is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK

Non EU National dependant, a passport showing a current visa and passport from spouse with evidence of eligibility to work in the UK

A passport or other travel document endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK or has no time limit on their stay in the UK.

An immigration status document issued by the home office or the BIA to the holder with an endorsement indicating that the person named in it is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK, when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

A full birth certificate issued in the UK which includes the name(s) of at least one of the holder's parents when produced in combination with an official document, issued by a Government agency or a previous employer, giving the person's permanent National Insurance Number and their name.

A full adoption certificate issued in the UK which includes the name(s) of a least one of the holders adoptive parents when produced in combination with an official document, issued by a Government agency or a previous employer, giving the person's permanent National Insurance Number and their name.

A birth certificate issued in the Channel Islands, the Isle of Man or Ireland when produced in combination with an official document, issued by a Government agency or a previous employer, giving the person's permanent National Insurance Number and their name.

A adoption certificate issued in the Channel Islands, the Isle of Man or Ireland when produced in combination with an official document, issued.

A certificate of registration or naturalisation as British Citizen when produced in combination with an official document, issued by a Government agency or a previous employer, giving the person's permanent National Insurance Number and their name.

A letter issued to the holder by the Home Office or the BIA indicating that the person named in it is allowed to stay indefinitely in the UK when produced in combination with an official document, issued by a Government agency or a previous employer, giving the person's permanent National Insurance Number and their name.

## **List B**

Only use this list if the individual cannot provide documents from List A

If a prospective employee shows you these original documents it indicates that they only have limited leave to work in the UK. These checks should be repeated on that individual at least one month before the expiry date of the document/s, at which point the employee must produce the new documents from list A or B or leave their employment with MEHT

A passport or travel document endorsed to show that the holder is allowed to stay in the UK and is allowed to do the type of work in question, provided that it does not require the issue of a work permit.

A Biometric Immigration Document issues by the BIA to the holder which indicates that the person named in it can stay in the UK and is allowed to do the work in question.

A work permit or other approval to take employment issued by the Home Office or the BIA when produced in combination with either a passport or another travel document endorsed to show the holder is allowed to do the work in question, or a letter issued by the Home Office of the BIA to the holder or the employer or prospective employer confirming the same.

A certificate of application that is less than six months old issued by the home office or the BIA to, or for, a family member of a national of an EEA country or Switzerland stating that the holder is permitted to take employment, when produced in combination with evidence of verification by the BIA Employer Checking Service.

A residence card or document issued by the Home Office or the BIA to a family member of a national of an EAA country or Switzerland.

An Application Registration Card issued by the Home Office or the BIA stating that the holder is permitted to take employment, when produced in combination with evidence of verification by the BIA Employer Checking Service.

An immigration status document issued to the holder by the Home Office of the BIA with an endorsement indicating that the person named in it can stay in the UK and is allowed to do the type of work in question when produced in combination with an official document, issued by a Government agency or a previous employer, giving the person's permanent National Insurance Number and their name.

A letter issued to the holder or the employer or prospective employer by the Home Office or the BIA, indicating that the person named in it can stay in the UK and is allowed to do the work in question when produced in combination with an official document, issued by a Government agency or a previous employer, giving the person's permanent National Insurance Number and their name.

**Please note Lists A and B were correct at the time of publishing but are subject to change. Always check the BIA website before proceeding with right to work checks.**

[www.bia.homeoffice.gov.uk](http://www.bia.homeoffice.gov.uk)

## Appendix 3

### **POLICY STATEMENT ON THE SECURE STORAGE, HANDLING, USE, RETENTION AND DISPOSAL OF DISCLOSURES AND DISCLOSURE INFORMATION**

#### **General Principles**

As an organisation using the Disclosure and Barring Service (DBS) Disclosure service to help assess the suitability of applicants for positions, the Trust complies fully with the DBS Code of Practice regarding the correct handling, use, storage, retention and disposal of Disclosures and Disclosure information. It also complies fully with its obligations under the Data Protection Act and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of Disclosure Information and has a written policy on these matters, which is available to those who wish to see it on request.

#### **Storage and Access**

Disclosure information is never kept on an applicant's personal file and is always kept separately and securely, in lockable, non-portable, storage containers with access strictly controlled and limited to those who are entitled to see it as part of their duties.

#### **Handling**

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.

The Trust maintains a record of all those to whom Disclosures or Disclosure Information has been revealed and recognises that it is a **criminal offence** to pass this information to anyone who is not entitled to receive it.

#### **Usage**

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.

#### **Retention**

Once a recruitment (or other relevant) decision has been made, the Trust does not keep Disclosure information for any longer than is absolutely necessary. This is generally for a period of **up to twelve months**, to allow for the consideration and resolution of any disputes or complaints. If, in very exceptional circumstances, it is considered necessary to keep disclosure information for longer than twelve months the Trust will consult with the DBS and will give full consideration to the Data Protection and Human Rights of an individual subject before doing so. Throughout this time, the usual conditions regarding safe storage and strictly controlled access will prevail.

## **Disposal**

Once the retention period has lapsed, the Trust will ensure that any Disclosure information is immediately suitably destroyed by secure means in line with the Trust Waste Policy relating to confidential waste. While awaiting destruction, Disclosure information will not be kept in any insecure receptacle (e.g. waste bin or confidential waste sack). The Trust will not keep any photocopy or other image of the Disclosure or any copy or representation of the contents of a Disclosure. However, notwithstanding the above, the Trust may keep a record of the date of a Disclosure, the name of the subject, the type of Disclosure requested, the position for which the Disclosure was requested, the unique reference number of the Disclosure and the details of the recruitment decision taken.

## Appendix 4

### Policy Statement on the Recruitment of Ex-Offenders

As an organisation using the Disclosure and Barring Service (DBS) Disclosure service to assess applicants' suitability for positions of trust, Mid Essex Hospitals NHS Trust (MEHT) complies fully with the DBS Code of Practice and undertakes to treat all applicants for positions fairly. The Trust undertakes not to discriminate unfairly against any subject of a Disclosure on the basis of conviction or other information revealed.

MEHT is committed to the fair treatment of staff, potential staff or users of their services, regardless of race, gender, religion, sexual orientation, responsibilities for dependants, age, physical/mental disability or offending background. This written policy on the recruitment of ex-offenders, will be made available to all Disclosure applicants at the outset of the recruitment process.

MEHT actively promotes equality of opportunity for all with the right mix of talent, skills and potential and welcome applications from a wide range of candidates, including those with criminal records. The Trust selects all candidates for interview based on their skills, qualifications and experience.

A Disclosure is only requested if it is indicated that one is both proportionate and relevant to the position concerned. For those positions where a Disclosure is required, all application forms, job adverts and recruitment briefs will contain a statement that a Disclosure will be requested in the event of the individual being offered the position.

Where a Disclosure is to form part of the recruitment process, MEHT encourages all applicants called for interview to provide details of their criminal record at an early stage in the application process. The PCT requests that this information is sent under separate, confidential cover, to the HR Department and guarantees that the information will only be seen by those who need to see it as part of the recruitment process.

Unless the nature of the position allows MEHT to ask questions about your entire criminal record we only ask about "unspent" convictions as defined in the Rehabilitation of Offenders Act 1974.

At interview, or in a separate discussion, the Trust will ensure that an open and measured discussion takes place on the subject of any offences or other matter 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.

MEHT undertakes to discuss any matter revealed in a Disclosure with the person seeking the position before withdrawing a conditional offer of employment.

**Having a criminal record will not necessarily bar an individual from working with Mid Essex Hospitals NHS Trust. It will depend on the nature of the position and the circumstances and background of the offences.**

## **Appendix 5**

### **Request to start without Disclosure and Barring Service Check (DBS)**

There may be exceptional occasions where the Recruiting Manager may wish to commence the employment of a candidate whose DBS disclosure has not been received. This situation should only arise in circumstances where the position remaining vacant is having an impact on the service. The Recruiting Manager must present a business case (including risk assessment) to the Recruitment Co-ordinator/Team to obtain approval for start date to be arranged prior to DBS clearance being received.

Recruiting Managers should be aware that starting without a DBS check should only be considered in exceptional circumstances. Mid Essex Hospitals Services NHS Trusts has a duty of care to its patients and staff and adopts a robust and rigorous approach to safeguarding.

The Recruiting manager must take into account the following considerations:

- The candidate has completed a DBS form and this has been sent to DBS for clearance.
- All other checks have been received; this must include Occupational Health Clearance and two approved references.
- If the candidate has received satisfactory DBS clearance from another employer and has been in continuous services with this employer this may be taken into consideration as part of the business case and risk assessment.

**Business Case for starting without DBS**

Business case (including risk assessment) to gain approval for the candidate to start prior to receiving DBS clearance.

Candidate Name: .....		
Reference No: .....		
Job Title & Grade: .....		
Ward/Division: .....		
Line Manager: .....		
Divisional Manager: .....		
DBS & documentary evidence for received by the recruitment team		Date received:
Please confirm all other recruitment checks have been received and approved:  Two satisfactory references:  Occupational Health clearance:  Entitlement to work in UK:  Registration and PIN No:	Yes	No
Documentary evidence of satisfactory DBS from previous/present employer: (Recruiting manager to confirm they have seen this)	Yes	No
Full supervision at all times has been arranged for the candidate to start work without DBS clearance:  Recruiting Manager is fully responsible for ensuring supervision is maintained until satisfactory DBS clearance has been received:	Yes	No
Manager has received written confirmation from the candidate to confirm they are prepared to start employment before receipt of DBS clearance and they understand that if this is not received their employment will be terminated: Copy of written confirmation to be forwarded to the Recruitment Team	Yes	No
Recruiting Managers signature ..... Date:.....		

Dear

**Commencing employment without a Mid Essex Hospital Services NHS Trust Criminal Record Disclosure:**

**Job title:**

**Reference No:**

I understand that the offer of employment for the above post is conditional on a satisfactory Disclosure and Barring Service Disclosure (DBS) for Mid Essex Hospital Services NHS Trust.

I have agreed to commence employment in the above post on the understanding that should my Disclosure and Barring Service disclosure not be satisfactory that my employment will be terminated with immediate effect. My employment will be terminated on the basis that I am unable to meet the conditions set out in my offer letter dated.....

I further understand that my offer of employment is still subject to a satisfactory Disclosure and Barring check.

**Signed** .....

**Print Name** .....

**Date**.....

## Appendix 6

### Process for dealing with Positive Disclosures

#### Were the issues reported declared at the application stage?

If a disclosure indicates a conviction, caution or other record, the disclosure will be recorded and stored in line with the policy at Appendix 3. The HR manager will be informed and checks will be made to see whether the issues reported were declared on the application form and at interview.

If the issues reported on the disclosure have not been declared at the application and interview stage, the HR manager will contact the candidate to ascertain why they failed to do so as this will usually result in the offer of employment being withdrawn.

In exceptional circumstances, and in discussion with the relevant Director or interview panel chair, a decision may be taken to accept the candidate's explanation for failing to make a declaration at the interview stage.

Care should be taken to ensure that the correct level and type of DBS clearance has been obtained in relation to the role to be undertaken. If this has been sought without appropriate justification to the role, then the decision to withdraw any offer may not be based on information that has been obtained within the legal framework relating to DBS applications. .

#### Arrangements for discussion with the candidate

HR manager contacts applicant by telephone to invite to meeting to discuss the declaration (*in some cases a discussion over the telephone may suffice*).

Recruiting manager informed of any possible delay whilst the declaration is being investigated – care must be taken with regard to confidentiality.

For personal safety purposes meetings should involve the HR manager and either another member of the HR team or the recruiting manager. Staff in the department must be aware of where and when the meeting is taking place. In some cases it may be necessary to arrange additional security.

The suitability of employment for a person with a criminal record will vary upon the nature of the job and the details and circumstances of any convictions. The discussion should cover these matters, in order that the applicant's criminal record and circumstances can be assessed in relation to the tasks s/he will be required to perform and the circumstances in which the work is to be carried out.

## Meeting Format

Reassure the candidate of confidentiality

Ensure the applicant is aware of the DBS Code of Practice and provide a copy on request (available on DBS web site).

Seek the applicant's confirmation that the details on the DBS disclosure report are accurate. Should the applicant dispute this, advise them to contact the DBS and do not proceed further with the appointment until this is resolved, unless satisfied that the details are no bar to commencement.

Discuss applicant's non-disclosure of details, if applicable.

Discuss the information held on the form and the circumstances around it. Consider issues such as recency, seriousness, relevance to the role and mitigating circumstances.

Explain that you will need to contact the appointing manager to discuss.

Discuss with the appointing manager (and / or relevant director if appropriate), in strictest confidence, and agree whether the applicant can proceed further.

Candidate informed of outcome

This will be confirmed in writing where a negative decision is made

Decision recorded on DBS spreadsheet / ESR as applicable

### **Issues for consideration when deciding whether or not to progress an appointment**

- Does the post involve one-to-one contact with vulnerable groups?
- Does the post involve caring for patients / clients?
- What level of supervision will the post holder receive?
- Does the post involve any direct responsibility for finance or items of value?
- Will the nature of the job present any opportunities for the post-holder to re-offend in the place of work?
- The seriousness of the offence and its relevance to the safety of children / vulnerable adults.
- The length of time since the offence occurred.

- Any relevant information offered by the applicant about the circumstances that led to the offence being committed, for example, the influence of domestic or financial difficulties
- Whether the offence was a one-off, or part of a history of offending.
- Whether the applicant's circumstances have changed since the offence was committed, making re-offending less likely.
- The degree of remorse, or otherwise, expressed by the applicant, and their motivation to change.

## Appendix 7

### Equality Impact Assessment (EIA)

Title of document being impact-assessed: **Recruitment and Selection Policy**

Date of assessment: **4 November 2014**

Lead person on the assessment: **Colleen Hart**

Equality or human rights concern.	Does this item have any differential impact on the equality groups listed? Brief description of impact.	How is this impact being addressed?
<b>Gender</b>	The impact of the Recruitment and Selection policy is gender neutral	<p>Gender detail is collected on the EO form held separately from the application form. All applicants personal information is withheld from the recruiting manager until after an appointment has been made.</p> <p>Use of the NHS Jobs website for advertising and ensuring that advertisement wording is designed to attract as wide a group of suitablyqualified applicants as possible and to promote a diverse workforce.</p> <p>Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.</p>
<b>Race and ethnicity</b>	The impact of the Recruitment & Selection Policy is Race neutral	<p>Data is collected on the EO forms held separately from the application form.</p> <p>Use of the NHS Jobs website for advertising and ensuring that advertisement wording is designed to attract as wide a group of suitablyqualified applicants as possible and to promote a diverse workforce.</p> <p>Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.</p>
<b>Disability</b>	The impact of the Recruitment & Selection Policy on disability is positive.	<p>Job applicants are asked to let us know on the form if they have a disability. They are guaranteed an interview if they meet the essential criteria.</p> <p>Use of the NHS Jobs website for advertising and ensuring that advertisement wording is designed to attract as wide a group of suitablyqualified applicants as possible and to promote a diverse workforce.</p>

		Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.
<b>Religion, faith and belief</b>	The impact of the Recruitment & Selection Policy is neutral	Data is collected on the equality monitoring forms held separately from the application form.  Use of the NHS Jobs website for advertising and ensuring that advertisement wording is designed to attract as wide a group of suitablyqualified applicants as possible and to promote a diverse workforce.  Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.
<b>Sexual orientation</b>	The impact of the Recruitment & Selection Policy is neutral	Data is collected on the equality monitoring forms held separately from the application form  Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.
<b>Age</b>	The impact of the Recruitment & Selection Policy is neutral	Age information is collected on the EO form held separately from the application form. All applicants personal information is withheld from the recruiting manager until after an appointment has been made.  Use of the NHS Jobs website for advertising and ensuring that advertisement wording is designed to attract as wide a group of suitablyqualified applicants as possible and to promote a diverse workforce.  Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.
<b>Transgender people.</b>	The impact of the Recruitment & Selection Policy is neutral	No data is held on this group  Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.
<b>Social class</b>	The impact of the Recruitment & Selection Policy is neutral	No data is held on this group  Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.

<b>Carers</b> .	The impact of the Recruitment & Selection Policy is neutral	No data is held on this group  Equality and Diversity training covers all characteristics to ensure candidates are not discriminated against at interview.