

<b>Recruitment Policy</b>
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## 1. INTRODUCTION

In order for the Trust to attract and retain qualified, motivated staff with the required skills and experience to carry forward the Trust's business objectives. It is essential that all managers work within a well defined recruitment policy.

Working within the recruitment policy will ensure that 'best practice' is the normal and that recruitment is carried out within the necessary legislative framework.

## 2. PURPOSE OF THIS POLICY

This policy is to be applied to the recruitment of all Trust staff irrespective of the contractual status of the vacancy with **the exception of medical staff.**

## 3. POLICY STATEMENT

The South London and Maudsley NHS Foundation Trust is committed to ensuring that all recruiting managers have access to Recruitment and Selection training in-house prior to taking part in any recruitment on behalf of the Trust. The Chair of the panel must have attended this course. The training provided will be based on the concepts include in this document.

The Trust aims to work at all times within current employment legislation and best practice guidelines to ensure a fair and equitable recruitment process. The Trust also uses the Two Ticks symbol on all advertisements in line with equal opportunities for disabled applicants.

This document outlines relevant employment legislation and best practice, the recruitment process and the responsibilities of individuals involved in the recruitment process.

## 4. ROLES AND RESPONSIBILITIES

### 4.1 Recruiting Managers

- It is the responsibility of the recruiting manager to be the main author of the job specification (name the job description, person specification and advertisements) and to make the selection decision.
- To ensure employment history of applicant is checked and to discuss any gaps with the applicant.
- To ensure that the recruitment process complies with this policy and in terms of equal opportunities and employment legislation.
- To ensure pre employment checks are carried out appropriately (including necessary immunisations following appointment).
- To determine in conjunction with Human Resources the most appropriate contractual status for the vacancy.

- To obtain the appropriate permission and authorisation via Establishment Control Form (ECF) to recruit or through the Establishment Control Procedure.
- To ensure the appropriate time is allowed to recruit effectively.
- To attend the Trust Recruitment and Selection training

#### 4.2 Finance Department

- To ensure that the ECF is signed off.

#### 4.3 Human Resources (HR) Department

- It is the responsibility of HR Advisers to provide advice to recruiting managers on the compilation of the job specification i.e. Job Description, Person Specification and the appropriate contractual status of the vacancy.
- It is the responsibility of the Employee Services Team to provide advice on draft advertisements, appropriate media and timescales for recruitment.
- The Employee Services Team will also:
  - a) Ensure the Trust complies with its legal obligations in respect of equal opportunities and employment legislation.
  - b) Ensure the accurate and timely issuing of Contracts of Employment.
  - c) Monitor the process in line with the Trust's Policy for Diversity and Equality.
  - d) Ensure that vacancies are notified to staff 'at risk' in line with the Trust Policy and Procedure for Job Protection.

### 5. LEGAL CONSIDERATIONS

At each stage of the recruitment process due consideration must be paid to the legislation enacted to ensure the elimination of discrimination.

#### 5.1 Discrimination

In law, four types of discrimination are defined:

**Direct Discrimination** is treating someone less favourably than another in comparable circumstances e.g. not appointing a pregnant woman to a role because of financial concerns connected with covering the role during her absence due to maternity leave.

**Indirect Discrimination** is where it was not the intention of the employer to discriminate against an employee, but nevertheless the outcome results in one group being disadvantaged in comparison to another, e.g. insisting on higher language standards than are necessary for safe and effective job performance would tend to disqualify people for whom English is not their first language.

**Associative Discrimination** (*new*) is where an individual is treated less favourably because they are associated with a person with a protected characteristic (e.g. a carer)

**Perceptive Discrimination** is where an individual is treated less favourably based on a perception they have a protected characteristic when he/she does not.

## 5.2 **Genuine Occupational Requirement (GOR)**

A Genuine Occupational Requirement enables positive discrimination in favour of a particular sex, race or disability to fulfil a specific role, e.g. stating that a member of a particular racial group is required for a role in the provision of a service to that racial group. A GOR should be stated in the advertisement.

## 5.3 **Equality Act October 2010**

The act defines unlawful discrimination as less favourable treatment because of a protected characteristic. These are:

- Age
- Disability
- Gender Reassignment
- Marriage and Civil Partnership
- Pregnancy and Maternity
- Race (includes colour, nationality and ethnic or national origins)
- Religion or Belief
- Sex
- Sexual Orientation

## 5.4 **Rehabilitation of Offenders Act 1974**

The aim of the Act is to prevent discrimination against those with previous criminal convictions. A conviction is classed as 'spent' if there is no further offence committed after a specified period of time. The NHS is exempt from the provisions of this Act, and applicants are required to declare all convictions, including 'spent' convictions, on their application of employment.

## 5.5 **Asylum and Immigration Act 1996 – Application for Work Permits to employ overseas Nationals**

This Act requires employers to verify entitlement to work in the UK by asking for appropriate documentary proof, e.g. A National Insurance card, a P45 or IP60, a British or EU passport, a suitably endorsed passport of another state, or a certificate of naturalisation or registration as a British citizen. Candidates are therefore asked to bring along proof to the interview and managers should ensure this is checked.

If a manager wishes to employ an overseas national, approval must be sought from the overseas labour section of the Department of Employment **before** the individual can commence work. See section under pre-employment checks.

## 5.6 **Data Protection Act 1998**

The Act aims to ensure that all data held on computers or in paper based systems are fairly and lawfully processed. Managers must ensure that information held on

candidates is accurate, adequate, relevant and not excessive. The information may only be used for specific and limited purposes. The data must not be kept for longer than is necessary and must always be kept secure.

#### **5.7 Police Act 1997 (Protection of Children) (Protection of Vulnerable Adults 2002)**

Most posts within the Trust now require that a police check/Disclosure is carried out. Where recruiting for posts that provide for substantial access to children and vulnerable adults and enhances disclosure will be required and checks will also be made against the protection registers defined under the Act. Please refer to the Trust's Policy and Procedure CRB Checks. Also see Appendix A, Page 14 under pre-employment checks of this policy.

#### **5.8 Equal Pay Act 1970 (1983)**

The Equal Pay Act gives a woman or a man the right to equal pay for work of equal value, in terms of the demands made on a worker under various headings including, effort, skill and decision.

## Appendix A

### THE RECRUITMENT PROCESS

There are a number of key steps which must be followed before a vacancy can be filled. This section deals with each stage of the process and is summarised in Appendix A.

#### 1.1 Vacancy Review

When a post becomes vacant it provides an opportunity to analyse the post to:

- Assess the role and funded establishment of the area to ensure its current form reflects the needs of the department and the Trust.
- Evaluate the necessity for the post to be filled or to explore alternative methods of undertaking the work.
- Carry out a risk assessment on the role considering the physical and social environment of the post e.g. indoor, outdoor, mobile, dirty, and hazardous. Please refer to the Non-Clinical Risk Policy manual for further guidance.
- Evaluate whether the skills, knowledge and experience required to fulfil the role need to be re-determined.
- Identify the level of Disclosure required from the Disclosure and Barring Service. Most posts within the Trust will require an Enhanced Disclosure/police check. For further guidance please refer to the Trust's CRB policy.
- Review the job description.
- Determine the contractual status of the role e.g. permanent, fixed term contract, secondment.

#### 1.2 Job Specification Preparation

All job descriptions must have been evaluated through the Trust's job evaluation process prior to advertisement.

The job specification will accompany the recruitment request form and will comprise of the following:

##### Job Description

The Trust uses the NHS Job Evaluation Scheme to grade roles and therefore to ensure consistency across the Trust job descriptions need to be supplied by managers, electronically in the Trust format.

When preparing any description a manager should consider the main tasks and requirements of the role. This is not necessarily everything that the previous post holder carried out as part of their role. Roles often develop over time in line with the interests and skills of the previous postholder.

There are some key areas which should always be included: post title, grade, and location of the post and the purpose of the job.

An organisational structure will help any future candidate to understand where the post fits in the structure of the department and/or organisation.

A brief description of responsibilities including numbers and grades of staff managed by the post holder and other responsibilities, such as budgets managed solely or jointly.

The job description should be written in clear and unambiguous terms, avoiding jargon so as to ensure the requirements of the job are clearly understood. Care should also be exercised when drawing up job descriptions to avoid unfair discrimination.

The job description will also provide the basis for drawing up the person specification.

When writing a job description for a new post or changing the content of an existing job description, Recruitment Services should be consulted to ensure that there are no material changes that will affect the grading of the post.

### Person Specification

The purpose of a person specification is to provide an objective, comprehensive and detailed description of the skills, qualifications, experience and abilities that the person will need to possess to fulfil the requirements of the job. The person specification must be relevant to the job and should reflect the attributes detailed in the job description.

The use of a person specification enables a systematic approach to recruitment by:

- setting criteria for the real requirements of the job
- acting as a framework for effective advertising
- aiding systematic assessment of candidates at short listing and interview
- guarding against unjustifiable bias and promoting equality of opportunity
- providing evidence of a systematic approach should there be a complaint of discrimination or unfairness in the recruitment process

The person specification will also provide the basis for drawing up the job advertisement

## **1.3 Advertising a Post**

### Preparing an Advertisement

The purpose of a good advertisement is to attract the appropriate calibre of applicants in a cost effective manner. It will also act to provide a sufficient amount of information about the organisation and the job to enable potential applicants to make an informed judgement as to whether or not to proceed with their application.

The main body of the advert should contain a brief description of the organisation/department, summary of the job and reflect the criteria defined in the person specification. The text should avoid jargon and be concise and to the point. The advert should also include an informal contact that candidates can contact to discuss the job role.

### Choosing the Appropriate Media

In line with the Trust's policy on Equality and Diversity all vacancies must be advertised on the Trust Intranet. All external advertisements are placed on the NHS Jobs website.

If a manager wishes to advertise a post in additional media the Recruitment Service Manager must approve it. Where managers do not indicate the publication they wish to advertise in, the Employee Services Team can offer advice or guidance on suitable publications.

All advertising costs will be met by the individual directorates.

#### 1.4 **Recruitment Administration**

Before any post can be recruited to, the recruiting manager must complete an ECF (Establishment Control Form), (Appendix C) and send it to the Employee Services Team. All required signatories must authorise the form before it is actioned by the Employee Services Team and the process can begin. A complete job description, person specification and where appropriate an advertisement should be attached to the form. Ideally these should be sent electronically to the Employee Services Team.

The Employee Services Team will not process vacancies if the ECF is not completed appropriately. Any incomplete forms will be returned to the recruiting manager and this may cause a delay in recruiting to the vacancy.

The recruiting manager must also use the appropriate electronic form to 'Add a Vacancy'. This is to alert the Employee Services Team to the need for a post to be advertised and is available the Intranet.

On receiving the completed ECF, job description and vacancy information the Employee Services Team will allocate a unique reference number and publish the post. This allows the specific post to be clearly identified and matched to funding available. This reference should be quoted during any communication between the manager, the recruitment office and any potential candidates.

The Employee Services Team will arrange for the vacancy to be advertised in the relevant media and send recruitment packs to applicants. Recruitment packs will include an application form, a sheet detailing the terms and conditions of the post, a copy of the job description and person specification and other relevant information.

If a manager requires any additional information to be sent to applicants this should be provided to the Employee Services Team or discussed with the relevant recruitment administrator. Details of application forms requested will be retained on a central file for monitoring purposes.

On receipt of a completed application form the Employee Services Team will record receipt of the form and the information required for equal opportunities monitoring along with advertising and media information. The equal opportunities monitoring sheet is removed by the Employee Services Team before applications are forwarded to the Manager. Managers must review the content of the completed application forms and discuss any discrepancies or admissions at the interview stage. Any equal opportunities forms which highlight that the applicant has a disability will be brought to the attention of the recruiting manager. Any disabled applicant who meets the minimum criteria will be offered an interview in line with the Trust's Disability and Employment Policy.

Vacancy information will be kept in the Recruitment Office for six months after the closing date of a vacancy. It is therefore important that any recruitment paperwork relating to the post is forwarded to the Employee Services Team for inclusion on the file (any other copies of the recruitment paperwork should be disposed of confidentially).

## 1.5 Shortlisting

After the closing date of the vacancy the Employee Services Team will send a short listing pack to the named manager on the recruitment form via email.

The aim of the short listing process is to identify suitable candidates to proceed to the next stage. An individual on their own should not complete short listing and ideally all the interview panel should have the opportunity to participate in the shortlisting process.

The short listing process should be carried out objectively and consistently, comparing each application with the job specification to establish whether, on paper, the person has the knowledge and experience that is necessary or desirable for the job. The short listing grid (Appendix D) has been designed to minimise the risk of bias on grounds of gender, race or any other irrelevant factor.

In line with the Trust policy, if an applicant has a declared disability and meets the minimum essential criteria for the job they must be offered any interview.

Short listing decisions should be based on the relevant facts as presented on the application form. Personal information such as the applicants, name, gender, marital status, sexual orientation, nationality, country of birth, religion and age should not form part of the process.

Applicants previously dismissed by the Trust should not normally be short listed other than in exceptional circumstances (this should be discussed with an H.R. advisor if you have any concerns).

Prompt short listing is important to ensure that candidates do not lose interest in a post or find alternative work. In any case applicants are informed that if they do not receive communication from the Trust within six weeks of the closing date of the vacancy that they should assume that their application has been unsuccessful.

Once a shortlist of candidates is identified all paperwork including the short listing form should be returned to the Employee Services Team with a completed interview schedule.

As a matter of courtesy recruiting managers should contact internal applicants who have not been short listed to make them aware of their decision.

Recruiting managers should also ensure that they give at least 10 working days notice to the Employee Services Team before interview dates. This allows sufficient time for letters to be sent and give sufficient notice to candidates.

## 1.6 Interview and Selection Assessments

The key purpose of a selection/interview is to assess the skills, experience and general background of a particular candidate in order to make a decision on whether that person is a suitable candidate, or the most suitable candidate for a particular job.

### Interviews

Interviewing is the most commonly used method of assessing prospective employees. The interview should also be a forum through which each candidate can obtain information about the organisation and the vacant job. The selection interview should therefore be structured around a two-way communication process.

## **Preparation**

The interview panel should be made up of a minimum of two people and ideally a maximum of five. At least one member, and in any event the chair, of the interview panel should have attended the Trust's Recruitment and Selection training course.

The panel should have the opportunity to meet prior to the interviews to study application forms and to agree roles of the panel, the format of the interview and planned interview questions.

Appendix G shows an Interview Record Sheet which allows the interview panel to agree the areas of questioning for the interview and to assess and score candidates against agreed criteria to arrive at an objective decision.

When designing interview questions ensure they relate to the criteria identified in the job specification in order to measure the candidates suitability for the job. Questions should be designed to obtain relevant information about the applicant's experience and skills, check facts, test achievement and assess aptitude and potential.

Use a chronological process for questioning starting with areas immediately familiar to the candidate such as present job before questioning previous experience.

Broadly similar questions should be asked of every candidate at the interview to ensure equity and that every candidate has the same opportunity to demonstrate their suitability for the post. However applicants are individuals with individual backgrounds and so questions need to be designed to explore their individual strengths and weaknesses and thus assess their suitability for the job.

Any gaps in employment history on the application form must be discussed with the applicant.

The Recruiting manager has a responsibility to ensure that everyone subsequently offered a post is suitable for the job for which they are appointed. Care should be taken to ensure that any employment gaps are covered and explained.

Where additional information has been provided by the applicant in relation to criminal proceedings or an investigation by a licensing body the questioning should relate directly to how this may impinge on an individual's ability to perform the job for which they have applied.

Apart from careful planning in terms of the matters on which questions are to be asked, the panel should exercise care in formulating the questions.

Questions at an interview that involve any of the following topics risk being interpreted as discriminatory especially when asked of female candidates.

Candidates should not therefore be asked for information on:

- marital status or marriage plans
- ages of children and childcare arrangements
- general family commitments and/or domestic arrangements
- partner's occupation and mobility
- actual or potential absences from work for family reasons
- health or disability, including about someone's sickness absence record. There are some very limited exceptions to this. One exception is if the answer to the question would mean you would know if a person can carry out an

intrinsic or absolutely fundamental function of the job with reasonable adjustments in place.

### **Interview Letters**

The Employee Services Team will send out interview letters to short listed applicants. The letter will ask the candidate to bring the following to the interview:

- a passport or proof of identification
- a copy of their up to date professional registration certificate (where applicable)
- any prepared presentation if required for the interview

The letter inviting candidates to interview will also ask all candidates if they have any special requirements for the interview. Should any candidate highlight that they need any particular assistance, the Employee Services Team will liaise with the Manager to ensure that reasonable adjustments are made in line with the Trust's Disability and Employment Guidelines.

### **Points to Consider when Interviewing**

Points that should be considered when interviewing include:

- Ensure that the relevant reception area has been notified that interviews are taking place and that a suitable venue is available (recruiting managers are responsible for making room bookings).
- Ensure the interview is free from interruptions.
- Introduce the panel members to the candidate(s).
- Keep an eye on the time.
- Make sure the candidate is settled before commencing the interview.
- Begin questioning in areas that are familiar/safe to the candidate. This gives them an opportunity to relax and they are more likely to perform well.
- Try to use open rather than closed questions as much as possible.
- Listen to answers and clarify if necessary.
- Use appropriate body language to indicate encouragement, interest, attention i.e. eye contact, nodding etc.
- Allow time at the end of the interview for questions for the candidate.
- Adjust your plan if the candidate wishes to ask questions at the start of the interview.
- Take notes during the course of the interview (see Interview Record Sheet – Appendix G). This will assist in the decision making process at the end of the interviews and forms a record of the process followed if any queries are raised.
- Tell the candidate how and when the outcome will be communicated.

### **Administration at the Interview**

The recruiting manager is responsible for ensuring:

- The Chair must complete an interview Record Sheet and Offer and Join Form.
- Ensuring that the identity of the candidate is checked and a copy of their identity document e.g. passport is taken.
- Ensure that proof of professional registration (where applicable) is checked.

### **Selection Assessments**

#### **Testing**

As part of the selection process it may be appropriate to test the candidates on a particular skill. This could be in the form of a typing test, in-tray exercise or practical assessment of a clinical skill. Candidates should be informed in advance that this will take place. Where unfamiliar equipment is to be used, practice time should be allowed.

When designing a test care should be taken to ensure that the test is relevant to the skills, abilities and aptitudes identified in the job specification.

All management roles and above will require to have a Recruitment Assessment Centre included in the selection process.

#### **Presentations**

It is common practice to require candidates to give a short presentation where the role they are applying for will require good presentation or communication skills. Details of the presentation requirement should be included on the Interview Schedule Form (Appendix E). The information provided on the Interview Preparation Form will be included in the invitation to interview letter by the Employee Services Team.

Managers should therefore give details of the subject of the presentation, the time allowed and any equipment that will be available, e.g. OHP or PowerPoint presentation. Managers are responsible for arranging the availability and set up of any equipment.

### **Assessment of Candidates and Making a Decision**

Each panellist should individually assess each candidate against the person specification. The panel should then discuss the candidates in turn comparing their assessments to reach a consensus over who to appoint. Having eliminated those who do not meet the criteria there may be more than one candidate who is appointable. In these circumstances candidates should be compared against the desirable criteria to reach a decision. It may also help to consider the following questions to assist in the decision making process:

- How soon will the person be effective?
- What are their training requirements?
- What can they bring to the organisation?
- Were there any assessments/tests – if so how did the candidate perform?

Place candidates in order of preference to enable a second choice should the first candidate refuse the offer.

The final decision on who to appoint should be made by the Chairperson at the interview.

### **Pre-Employment Checks (Post offer being made)**

Pre-employment checks form an important part of the recruitment process and particular care should be taken to ensure that they are completed appropriately and at the right time. The recruiting manager has a responsibility to ensure that all candidates/members of staff are suitably screened before confirmation of employment is made.

Candidates should not be asked to give notice to their current employer until satisfactory pre-employment checks have been received by the Trust.

### **Identity Checks**

All candidates will have photo identification and two proofs of address kept on file which will also be proof if required by the Registration Authority (SMART Cards)

### **References**

References will be taken in accordance with the Seeking of References Policy.

The purpose of a reference is to confirm the information gained by the selection panel or contained in the application form. The Trust requires that all applicants provide details of two referees for each post they are applying for. Should a candidate be applying for more than one post, the same reference may be used with the permission of the referee.

For all posts, two professional referees are required (one of which must be the current or last employer).

Failure to obtain suitable references may result in the Trust having to honour an offer of employment to a potentially unsuitable applicant as job offers can be legally binding contracts and cannot usually be withdrawn. Therefore it is important that time is taken to consider the content of references.

References will be requested in writing or by email by the Employee Services Team at the request of the recruiting manager within 2 working days of the interview taking place. References will not be requested prior to interview.

Any concerns in relation to references should be discussed with the Employee Services Team.

### **Providing a Reference**

Where a reference is supplied the employer and person writing it have a common-law duty of care to both the subject of the reference and its recipient. The duty involves ensuring that the reference is accurate and fair – both in terms of what the reference says and any significant details that are left out. A claim for negligence might arise where the duty of care has not been met.

### **Disclosure and Barring Service (DBS) Disclosures (Police Checks)**

Will be undertaken in accordance with the CRB and Recruitment of Ex-offenders Policy.

All applicants are advised on the Trust Application Form that they must disclose full details of any changes, bindovers or convictions they have received whether in the UK or in another country.

Applicants must also provide full details of any police cautions, final warnings or reprimands and any details of current police investigations whether in the UK or another country.

If the applicant has been previously dismissed by reason of misconduct or is currently the subject of a fitness to practice investigation or proceeding by a licensing body this must also be declared.

Not all posts within the Trust require a Disclosure/police check to be carried out. However the level of disclosure required will have been identified by the recruiting manager at the beginning of the recruitment process.

A Disclosure request should only be made once the preferred candidate has been selected. Such checks must not form part of the short-listing procedure. Any offers of employment will be made subject to a satisfactory police check.

When a disclosure has been made, managers will work closely with HR in deciding an applicant's suitability. They will take into consideration the nature of the post and the nature and circumstances of the Disclosure.

The administration of the DBS Disclosure procedure will be undertaken by the Employee Services Team.

Should an applicant who has made a declaration, be subsequently appointed, a copy of the relevant details will be held on their personal file and used in personal administration and the work of the Trust in accordance with the Data Protection Act 1998.

Recruiting managers are responsible for checking application forms for disclosed convictions and for carrying out appropriate investigations into the circumstances of the conviction, if necessary, at interview. Having a criminal record does not automatically disbar an individual from employment, under the Trust's Rehabilitation of Offenders Act statement.

### **Occupational Health**

All South London and the Maudsley NHS Foundation Trust staff must have a pre-appointment health check, which adheres to equal opportunities legislation and good occupational health practice. Pre-appointment health checks are carried out to:

- ensure that prospective staff are physically and psychologically capable of doing the work proposed, taking into account any current or previous illness
- identify anyone likely to be at excess risk of developing work-related diseases from hazardous agents present in the workplace
- ensure, as far as possible, that the prospective employee does not represent a risk to patients and that they will be doing work that is suitable and safe for them.

All checks must take into account the requirements of the Disability Discrimination Act 1995 (DDA) and reasonable adjustments must be made to ensure that people can work in the Trust regardless of physical impairment or learning disabilities. Occupational health checks should be made once a job offer has been made. Occupational health checks are the final pre-employment checks employers must do as part of the *NHS Employment Check Standards*.

Occupational health checks should be done when a member of staff takes up their first post including any training

- transfers to a new employer in the NHS
- changes jobs, where this involves a significant change of duties.

If the potential employee has responded 'yes' to any of the questions in Section 3 of the NHS Employment Questionnaire, the individual will need to be referred directly to an occupational health professional, for consideration. If there are no grounds for investigation, the process ends here. If it is considered necessary, an interview with the prospective employee should be arranged to assess their fitness for the post and identify what reasonable adjustments, if necessary, can be put in place to ensure the individual can undertake the roles and responsibilities of the job being offered. An occupational health nursing adviser or a physician will carry out the interview.

The results of the occupational health check will be forwarded to the Employee Services Team, and the recruiting manager should make a decision on employment based on this advice.

Reference: NHS Employers (2010) Occupational Health Checks

### **Professional Registration**

Candidates are asked to bring along proof of their professional registration to the interview and the recruiting manager should ensure this is checked as part of the interview process.

The Employee Services Team will also check the registration of the successful candidate with the relevant professional body as part of the pre-employment checks. This will be carried out either by telephone or via the internet and will be recorded on a standard recruitment checklist and filed in the candidate's file. Any discrepancies will be reported to the recruiting manager as a matter of urgency.

### **Qualifications**

It is recommended that where a qualification is required as part of the job specification that the manager arrange to see the relevant certificate. This should be carried out during the first week of employment if it has not been provided at interview or prior to starting.

### **Certificate of Sponsorship** (previously known as a Work Permit)

As from February 2008 an employer-led sponsorship has replaced the work permit system requiring employers who recruit and employ migrants from outside the European Economic Area (EEA) and Switzerland to hold a sponsorship licence and issue Certificates of Sponsorship to migrants they wish to employ. This is made up of a five tier points-based system and as a Sponsor; SLaM - Recruitment Services - is responsible for assigning Certificates of Sponsorship to migrant workers in Tier 2. They will also need to pass a points-based assessment before a certificate is issued.

It is the responsibility of the recruiting manager in liaison with the Employee Services Team to check the identity of all candidates in line with the Immigration, Asylum and Nationality Act. Passports will verify identity and permission to work in the UK. The

passport and proof of ID of all candidates must be checked and a copy to be taken by the recruiting manager at interview and by the Employee Services Team within the recruitment process.

Applicants are asked to declare if a work permit is required on their Application Form. However recruiting managers should check this at interview. All candidates and not simply those who you assume to be from overseas should be asked. If the preferred candidate for a post requires a Certificate of Sponsorship the manager should discuss this with the Employee Services Team.

If the candidate has a visa, a copy should be obtained by the recruiting manager and passed to the Employee Services Team for verification.

A Certificate of Sponsorship will normally only be granted for positions that require professional qualifications. Additionally (with the exception of 'shortage occupations'), proof is required that the vacancy has been advertised in at least one recognised journal/publication for a total of four weeks to demonstrate that the Trust has attempted to recruit from the UK and Europe in the first instance.

A Certificate of Sponsorship is not transferable across NHS Trusts and SLaM will therefore need to issue a new Certificate for the appointment. In addition if the candidate is internally moving within SLaM to a new band, another Certificate of Sponsorship will need to be issued.

The cost of the Certificate of Sponsorship as set by the United Kingdom Border Agency will be met by the recruiting manager. The Employee Services Team will require the relevant Budget Code before a Certificate can be assigned.

Once the Certificate of Sponsorship has been assigned the number is then provided to the candidate to place on the 'Further leave to Remain (FLR) application form which is the responsibility of the applicant to process. Individuals will have to complete a new, separate form (FLR) to apply for leave to remain in the UK and cannot start work until this permission has been received.

The fee for the Further Leave to Remain application is met by the individual not SLaM.

For further information relating to the Points Based System can be obtained from the UK Border website or by contacting the Employee Services Team.

### **Offer of Employment**

Once agreement is reached by the selection panel, a conditional offer of employment can be made to the applicant by the Employee Services Team. Any offer of employment should be made subject to satisfactory references and occupational health clearance, DBS checks and permission to work and remain in the UK.

Managers should be aware that a verbal offer of employment is legally binding and therefore **should not be made** by the recruiting manager.

An offer of employment will normally be made on the minimum point on the salary scale relevant to the post subject to verification of previous relevant experience.

If the applicant declines an offer of employment it is advisable to explore the reasons for this decision and also offer the candidate the opportunity to join NHS Professionals for any work they may be available for. The panel may then decide to offer to the second choice candidate.

### **Unsuccessful Candidates**

All applicants attending interview will be sent a letter confirming the outcome of the interview/selection by the Employee Services Team on receipt of the paperwork. Recruiting managers should be prepared to provide feedback to any unsuccessful applicants if requested.

Any feedback offered to candidates should be recorded on the recruitment paperwork and should be based on facts that can be demonstrated and supported by the recruitment panel.

It is advisable to wait to let second and third choice candidates know that they have been unsuccessful until the offer of employment has been accepted by the preferred candidate as the panel may decide to make an offer to the second choice candidate if the first offer of employment is declined.

### **Contract of Employment**

A contract of employment is produced by the Employee Services Team within 8 weeks of the start date provided that a signed copy of the offer letter has been received and confirmation is obtained that all pre-employment checks have been completed to the Trust's satisfaction.

Two copies of the contract are produced: one copy is placed on the individual's personal H.R. file.

### **Induction**

The induction of a new member of staff into the Trust or Directorate is an important function to ensure that the individual is integrated into the department and becomes effective in their job quickly.

It is a mandatory requirement for all new staff to receive both a corporate and local induction. Managers should therefore familiarise themselves with the Trust's Induction Guidelines. All new staff must attend corporate induction within two months of start date.

## **2. SECONDMENTS**

Secondments can be offered to existing staff for vacancies that cover a short or set period of time (usually up to a maximum of 12 months). Examples of cases where secondments would be recommended are for project work where funding is available for a limited period or to cover a long term absence such as maternity leave. All secondment opportunities should be advertised internally, in line with the Secondment Policy.

If a secondment opportunity is offered to an employee they should have the right to return to their original post on completion of the secondment as long as the secondment is less than twelve months.

## **3. FIXED TERM CONTRACTS**

A fixed term contract can be offered to an external applicant for a vacancy that is available for a short or set period of time (usually up to 12 months). Examples of cases where fixed term contracts would be recommended are for project work where

funding is available for a limited period or to cover a long term absence such as maternity leave. Internal applicants should be offered secondment for the period of the post as outlined above.

Managers should be aware that after 24 months service an individual on a fixed term contract will accrue employment rights. Therefore if the individual's employment will continue for longer than 24 months the manager should discuss the implications with the HR Advisor before offering the post.

#### **4. INTERNATIONAL RECRUITMENT**

The Department of Health have issued a 'Code of Practice for NHS Employers involved in the international recruitment of healthcare professionals'. Advice should therefore be sought from the Employee Services Team when considering recruiting from overseas.

#### **5. RECRUITMENT OF TRUST DIRECTORS**

The recruitment of Trust Directors will be managed through the Employee Services Team and the Chief Executive's office. The recruitment process will be defined in line with the job description and person specification and will normally include psychometric testing along with presentations and interview. The interview/appointment panel will include the Chief Executive and two Non-Executive Directors.

Where candidates are asked to meet with other staff members it is important to ensure that all parties are aware that the views of those other than those of the interview/appointment panel do not form part of the decision making process.

#### **6. FLEXIBLE WORKING**

All posts advertised in the Trust are open to applicants who require flexible hours. Candidates who wish to be considered for flexible/part-time hours or job share are asked to highlight their request on the application form.

When an individual asks to be considered for a part-time role, managers must give this request clear consideration.

If the applicant is the most suitable person for the role and, where service requirements allow, they may be appointed dependent on the needs of the service, and the manager should consider how the remaining hours could be covered. The remaining hours available may be offered to another suitable candidate, otherwise they should be re-advertised. Please refer to the Trust's Flexible Working Policy for further guidance.

#### **7. ACCOMMODATING PEOPLE WITH DISABILITIES**

When an applicant with a disability applies for a post the Trust is responsible for carrying out any reasonable adaptations to the workplace or supplying additional equipment to assist the new employee in their role. Additional help may be available through external agencies such as the Local Employment Services Office.

## Appendix B

### ESTABLISHMENT CONTROL PROCEDURE

#### 1. PROCEDURE FOR CHANGING BUDGETED ESTABLISHMENT

- 1.1 This procedure relates to any changes to the funded establishment of a department. Any changes to an establishment during the budget setting process should be reflected through this procedure.
- 1.2 All managers are required to complete the "Establishment Control Form". It is essential that all the appropriate sections are completed in full, and then forwarded to the respective Senior Borough Accountant and, then onto the Human Resources Department. A complete copy of the form is in Appendix A. The completion of certain sections of the form is **mandatory**. If there is a requirement to change the funded establishment, these are sections A, B and C. An example of no change to the establishment in preparation for recruitment follows:
- 1.3 Managers are required to provide full details of the proposed changes to the establishment. This requires that all post numbers of affected posts are recorded on the form and details of the changes to those posts. It is essential that managers clearly identify where funding for the changes is coming from, either the disestablishment of other vacant posts or new funding sources.

Following is an example of the creation of a new post (A&C4) using existing resources which have been obtained through the deletion of an existing post (E grade Nurse), in addition to the creation of a fixed term post (A&C3).

- 1.4 For proposed regradings, the manager will be required to have undertaken an evaluation of job in conjunction with the Human Resources Advisor/Manager
- 1.5 The relevant Service Manager/Budget Holder should then sign off the completed form. Once complete, the form should be forwarded to the relevant Senior Directorate Accountant.
- 1.6 The Senior Directorate Accountant will then assess the details on the form and confirm that funds are available for the changes. The Senior Directorate Accountant will communicate the outcome to the manager and, forward the agreed form to the Human Resources Department.
- 1.7 Where the manager intends to recruit to the changed establishment and any vacant posts, the manager must follow the steps outlined in 2. "Procedure for Filling Vacant Posts". Job descriptions and adverts should be provided at this stage, and the standard recruitment process will follow.
- 1.8 For posts, which have an external funding source e.g. education consortium, managers are required to attach a copy of the funding agreement or other relevant support documentation.
- 1.9 In exceptional circumstances and particularly in periods of large organisational change, it may be necessary for the Human Resources Department to hold post(s) for redeployments etc. In these situations, the Senior Borough Accountant will only change the establishment on the system after notification has been provided by the Human Resources Department to proceed.

## 2. PROCEDURE FOR FILLING VACANT POSTS

- 2.1 Recruitment can only occur to posts which are vacant within the given establishment for the department/unit. However, it may be more effective to commence recruitment to a particular post before the present post holder has left employment e.g. during the notice period if the employee has resigned.
- 2.2 No recruitment to any posts can occur without the completion of the Establishment Control Form.
- 2.3 Managers are required to complete the Establishment Control Form. It is vital that full details are provided on the form in order to ensure the form is processed efficiently.
- 2.4 Managers should clearly identify whether the post is a new post or a replacement post. In the case of the latter, the name of the previous post holder and their leaving date is required.

The following example demonstrates the direct replacement of a Nursing Assistant which does not require a change to the establishment or change to the budget. (Sections A, B and C would also be completed).

- 2.5 A job description, person specification and draft advert for the post need to be compiled by the manager. For a replacement, this is the opportunity to review the job description.
- 2.6 Where managers are recruiting to a number of posts at different grades, they are required to list on the form all the post numbers they are recruiting to.
- 2.7 The Human Resources Department will notify the manager of receipt. The Manager will need to provide the Human Resources Department with a current job description, person specification and advert, ideally via email.
- 2.8 Upon appointment, the new employee will be offered the appropriate "job rate" for the post, which should have been determined prior to recruitment. No additional salary points, increments or any other form of benefit should be offered during the selection process.
- 2.9 For posts with grades which have increment points e.g. administration and clerical etc, discretionary incremental credit up the scale can be awarded at the appointment stage as long as the conditions for this discretion. However, this must be discussed with the Human Resources Department prior to an offer being made.

## 3. PROCEDURE FOR REGRADING POSTS

This guidance document outlines the procedure for the re-banding of posts within South London and Maudsley NHS Foundation Trust. **It is imperative that no decisions, offers or guarantees are made by a manager prior to the completion of this procedure.**

- 3.1 All managers have a responsibility to ensure that their department operates within its approved management structure and budget.
- 3.2 Every effort should be made to maintain banding consistency and to avoid deliberate or incidental band drift as a result of the injection of inappropriate duties and responsibilities. Where this occurs, the manager concerned should endeavour to adjust the duties of the post to reflect their originally approved banding.

However, it is recognised that there will be occasions where managers will need to adjust their structures to reflect additional areas of responsibility and changes to their service requirement.

- 3.3 In all cases where re-bandings are envisaged, it is essential that managers take into account the effect of the re-banding of the post upon other related and comparable posts within and outside their department. This process should be done with reference to the Human Resources Department and Agenda for Change Job Evaluation process.
- 3.4 It should also be noted that, in principle, a job should only be allowed to develop beyond its established banding as a result of a deliberate management decision. However, an employee may require a re-assessment of the band of their post in light of specific identifiable changes to the duties they are required to perform and responsibilities they are required to undertake.
- 3.5 Before proceeding with a request to re-band a post, the Manager and post holder should design a new draft job description and person specification which clearly shows the new or amended duties and responsibilities that the post holder will be required to undertake.
- 3.6 The manager should discuss with the relevant Human Resources Advisor/Manager the amended draft job description, the new proposed banding and, the relationship of the post to other posts within the overall structure. It may be necessary at this stage for the Human Resources Advisor/Manager to obtain further information about other posts within the Trust.
- 3.7 The Human Resources Advisor/Manager will send the job description for evaluation in accordance with Agenda for Change.
- 3.8 Once the band is confirmed, the manager should complete the "Establishment Control Form" (Appendix A) which should then be discussed with the relevant Senior Borough Accountant to ensure that budgetary provision for a regrading is available on a recurring basis. The Senior Borough Accountant will sign the Establishment Control Form to confirm the availability of funding.
- 3.9 Once financial approval has been agreed, the form will be returned to the Human Resources Advisor/Manager, who will communicate the outcome to the Manager and agree an effective implementation date.
- 3.10 If financial approval is not obtained, the manager in conjunction with the Human Resources Advisor/Manager should review the job description and remove those duties and/or responsibilities, which are inconsistent with the original band for the post.

Following is an example of a re-banding of a nursing post from Band 6 to Band 7. (Sections A, B and C will also have been completed).

### **ESR ESTABLISHMENT CONTROL FORM**

Click on the following link to access the form:

[http://192.168.175.211/finance/Financial\\_Management\\_Documents/Establishment\\_Control\\_Form.xls](http://192.168.175.211/finance/Financial_Management_Documents/Establishment_Control_Form.xls).

## Appendix C

### Establishment Control Form

#### ESR ESTABLISHMENT CONTROL FORM

All forms need to have Sections A, B and C fully completed – **these are mandatory. ALL YELLOW FIELDS MUST BE COMPLETED BY THE BUDGET HOLDER**

For recruitment to a standard vacancy – Sections A, B, C and E need to be completed.

For recruitment which requires a change to the establishment – Sections A, B, C, D and E need to be completed.

For regrading of a post and a change to establishment – Sections A, B, C, D, and F need to be completed.

For recruitment to a post which has been regraded – Sections A to F need to be completed.

**All forms must be sent to Management Accounts.**

#### SECTION A: COST CENTRE & ESR ORGANISATION DETAILS

Finance Cost Centre & Description:	<i>pick from list</i>
Section:	<i>Automatic lookup</i>
Borough/Directorate:	<i>Automatic lookup</i>
Post Number	
CRB Clearance	<i>pick from list</i>
Occupation Code	[to be filled in by Management Accounts before sending to HR]
Manager/Budget Holder:	
Appraising Manager:	

#### SECTION B: FINANCIAL INFORMATION

Financial Effect:	Funding Source (please attach relevant support documentation)	Full Year Cost (£)
Increase <input type="radio"/>		
Decrease <input type="radio"/>		
No Change <input type="radio"/>		

#### SECTION C: AUTHORISATION AND APPROVAL

	Signature	Print Name	Date
Budget Holder/Manager:			
Senior Borough Accountant:			
Human Resources Advisor/Manager:			

SECTION D: ESTABLISHMENT CHANGE DETAILS			
Create a new post (current funding)	<input type="radio"/>	Create a new post (new funding)	<input type="radio"/>
Delete an existing post	<input type="radio"/>	Create a new Fixed Term post.	<input type="radio"/>
Change Funded hours/WTE	<input type="radio"/>	Renew Fixed Term Appointment	<input type="radio"/>
Recruit to a vacancy (go to section E)	<input type="radio"/>	Regrade an existing post (Section F)	<input type="radio"/>
Other (please specify):			
Reason for Change:			
Effective From:		Effective To:	

CURRENT ESTABLISHMENT:					
Post Number(s)	Post Title(s)	Grade	WTE	Cost Centre	Account Code

CHANGED REQUESTED					
Post Number(s)	Post Title(s)	Grade	WTE	Cost Centre	Account Code

SECTION E: RECRUITMENT AUTHORISATION (Please ensure a Job Description, Person Specification and Advert are attached)					
Post Number(s):			Post Title:		
Grade(s):			Hours:		
New post(s)	Replacement post(s)	Replacing: (maternity)	Leaving date:		
<input type="radio"/>	<input type="radio"/>				
Contract Duration:					
Reason for Fixed Term (where applicable):					
Preferred Media:			Advertising Cost Centre:		
Contact Details:				Tel No:	
Special Considerations e.g. post suitable for job share/term time contract :					

SECTION F: REGRADING INFORMATION (All posts are required to be evaluated prior to completing this section)			
Post(s) Evaluated:			
Evaluation Type:			
Present Grade:		Evaluated New Grade:	
Impact upon other posts:			

## Appendix D

### INTERNAL MEMORANDUM TO MANAGER

To:

From: Employee Services

Tel: Fax: 020 3228 5369

Date:

#### Re: Shortlisting Pack: Ref:

Please find enclosed the shortlisting pack for the above position. This includes the following:

- Shortlisting Grid
- Application Forms (online copies)
- Job Description
- Interview Schedule
- Interview Record Sheet
- Offer and Joining Form

#### 1) **SHORTLISTING**

- You will need to complete the shortlisting grid using the essential and desirable qualities from the job description, against which you wish to shortlist, for each applicant. The reason for their success to interview or otherwise must be given and must be justifiable. Please note that under the “Two Ticks”, Positive about Disabled People scheme, all applicants who express that they have a disability and meet the **essential** criteria should be granted an interview.
- Complete the Interview Schedule accordingly
- The shortlisting grid/interview schedule should be returned as soon as possible to the Employee Services at [employeeservices@slam.nhs.uk](mailto:employeeservices@slam.nhs.uk) (please allow 7-10 working days notice for the applicants to organise time off work, travel arrangements etc).
- The interview location should be chosen and arranged by the manager. Any expenses will be charged to the recruiting departmental budget.
- Please take photocopies of the application form(s) of the candidate(s) you wish to interview – one for each member of the panel.
- **Please telephone the Employee Services office the day before the interview to see who will be attending.**

**2) INTERVIEW**

- For potential fraud purposes it is important that a legible photocopy of the photo personal details page of each candidate's passport is taken at interview and returned with their paper work.
- Please note all salary offers must be discussed with and made by Employee Services in accordance with Agenda for Change Terms and conditions and must **NOT** be offered by manager at interview stage.

**3) END OF INTERVIEW PROCESS**

- Please complete an Interview Record sheet for **ALL** applicants including any '**no shows**' stating DNA (Did Not Attend)
- Return **ALL** paperwork to Employee Services, i.e. Completed Offer and Joining form; Interview Record Sheet; Interview notes.

**4) START DATE**

Please note that start dates are no longer negotiated. All new starters will start their first day of employment on a 3 or 5 day Trust Corporate Induction, where they will also be signed on to the Payroll. If the starter is clinical, working in a Clinical Inpatient service, a 5 day PSTS training period will follow. The manager of the new starter will be sent a copy of the 'Offer Letter' and once pre-employment checks are complete a copy of the 'Joining Letter'.

Should you have any queries, regarding the above or require assistance, please do not hesitate to contact **Employee Services on 020 3228 5371**

***Please note that failure to comply with the above will cause a delay in the recruitment process***

Yours sincerely

**Appendix E**

**SOUTH LONDON AND MAUDSLEY NHS FOUNDATION TRUST  
SHORTLISTING GRID**

**POST TITLE:**            **REFERENCE NUMBER:**            **DATE:**

**MANAGER(S) SHORTLISTING:**

Candidates Name	<i>Essential Criteria</i> from person specification (Please list)				<i>Desirable Criteria</i> from person specification				<i>Shortlist?</i> Yes/No	If No, state reason
<i>**Please list Selection Criteria in the boxes to the right**</i>										
1.										
2.										
3.										
4.										
5.										
6.										

**Appendix F**

<b>INTERVIEW SCHEDULE</b>	
<b>VACANCY JOB TITLE:</b>	
<b>JOB REFERENCE NO:</b>	<b>CAM</b>
<b>DATE OF INTERVIEW:</b>	
<b>LOCATION OF INTERVIEW: (Full address and telephone number):</b>  <b>(Please include details of the place to report/name and telephone number for porters/reception to call etc.)</b>	
<b>SPECIAL INSTRUCTIONS: e.g. Presentation, Test, Assessment etc.</b>	
<b>Please advise which facilities will be available i.e. flip chart, overhead projector and/or p.c. and projector for use with PowerPoint.</b>	

**INTERVIEW TIMES AND NAMES OF INTERVIEWEES:**

<b>TIME</b>	<b>INTERVIEWEES NAMES</b>

**PANEL:**

<b>NAME</b>	<b>JOB TITLE</b>	<b>TEL. NUMBER</b>
	<b>CHAIR</b>	

**NB: Please telephone the Employee Services Office on 020 3 228 5371 the day before interview to see who is attending.**

**References are not requested prior to interview. Once you have interviewed please let us know immediately which references you would like us to take up. If you have any queries relating to this vacancy, please do not hesitate to contact the Employee Services on 020 3 228 5371**

**Appendix G****OFFER AND JOINING FORM FOR SUCCESSFUL CANDIDATE**

Please complete this form in full and return it with your completed interview record sheets

**- Omitted information will delay the recruitment process-**

<b>Successful Candidate:</b>	<b>Job Ref: 334-CAM</b>
<b>Post:</b>	<b>Position/ECF Number:</b>
<b>Hiring Manager:</b>	<b>CAG:</b>

1. Band:

2. Hours/No. of Sessions per week:

**The salary point will be agreed by Employee Services in line with Agenda for Change terms and conditions.**

3. Current SLaM staff  External Candidate

4. High Cost Area Supplement payable: Inner London  Outer London  None

Emergency Duty Commitment

5. Type of Contract:

Permanent  Fixed Term  Secondment  Length of Contract:

6. Required Professional Registration: Current / Awaiting (Please mark as appropriate)

NMC  HPC  GSCC  Other  Please state:

Registration No: Expiry Date:

7. Will the employee require a Smart Card? Yes  No

If Yes please indicate for what purpose: ESR  Summary Card

8. Passport Number:

**Please confirm the identity of the person you are interviewing by checking and photocopying the candidate's passport. A copy must be sent to Employee Services with the interview paperwork.**

**The recruitment process cannot start without a copy of the passport.**

9. Is a Certificate of Sponsorship required: Yes  No

10. Full address of where to report to

11. Name of who to ask for:

12. Start time:

13. Accommodation Required: Yes  (Contact: Lyn Pester on 020 3228 4840) No

**External candidates start their employment at the 3 or 5 day Trust Corporate Induction program. The program is 3 days for administrative staff and 5 days for clinical staff. If the new starter is a nurse, healthcare assistant or clinical support worker with an inpatient service, a further 5 day PSTS training period will follow consecutively.**

**The hiring manager will be emailed a copy of the candidate's offer letter and recruitment instructions and once pre-employment checks are complete, a copy of their joining instructions and contract**

**Hiring Managers Signature:**

**Date:**

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**Appendix H****INTERVIEW RECORD SHEET**

**TO BE COMPLETED FOR ALL THE CANDIDATES BY CHAIRPERSON OF EACH INTERVIEWING PANEL.** It is important to have a written record of each interview and to assess the applicants against the criteria outlined in the Person Specification. Completing this form helps ensure that the South London and Maudsley NHS Foundation Trust complies with its Equal Opportunities Policy.

<b>INTERVIEW DATE:</b>	
<b>POST APPLIED FOR:</b>	
<b>JOB REFERENCE NO:</b>	
<b>NAME OF APPLICANT:</b>	

**When interviewing please discuss the following with the applicant and tick the box when it has been discussed or checked.**

1. Salary and allowances
2. High Cost of Living Allowance/London Weighting
3. Annual Leave/Bank Holidays
4. Hours/Shift system/on-call duties
5. Accommodation required (Please check availability with Accommodation Bureau)
6. Risk Assessment
  - Please ensure that you comply with Pt 8 of the Offer and Joining Form and take a photo ID of the successful candidate and return with recruitment paperwork.
  - Any gaps in candidate career history have been discussed at interview
7. Any Holiday commitments
8. Discussion of any criminal records under the Rehabilitation of Offenders Act, whether disclosed or not in the application
9. Registration/professional qualifications (e.g. NMC/Social Worker/Psychologist)
10. Date free to commence post/notice required
11. Mention to candidate that if offered the job it is subject to pre-employment check i.e. references; health clearance; CRB
12. No Smoking policy
13. Work Permit Required



## Appendix I

### Request sent by Email

Dear

**REFERENCE REQUEST FOR: REF: CAM**

The above has applied for a position with the South London and Maudsley NHS Foundation Trust and has given your name as a referee.

I would be grateful if you could give me your opinion of the applicant's character, work performance and suitability for this post. It would also be helpful if you could advise me of any periods of sickness absence that the candidate has had over the last two years. For your convenience a Reference Form is enclosed for you to complete. Should you also wish to write a reference in addition to the form you are at liberty to do so.

In order to protect the public, the post for which the application is made is exempt from Section 4.2 of the Rehabilitation of Offenders Act 1974 (Exceptions Order 1975). It is not therefore in any way contrary to the Act to reveal information you have concerning convictions which would otherwise be considered as "spent" in relation to this application and which you consider relevant to the applicant's suitability for employment.

All references are dealt with in the strictest confidence and only used in consideration of the application for employment. Please note we may be obliged to disclose the reference to the applicant under the Data Protection Act. We would be grateful if you would return your reference **as soon as possible, by return email or fax on 020 3228 5369.**

In the meantime should you have any queries please do not hesitate to call the telephone numbers below.

May I thank you in advance for your co-operation.

Yours sincerely

**Employee Services Team**

**Appendix J**

**REFERENCE REQUEST FORM**

<b>To be completed by Referee:</b>
<b>Sent by:</b>
<b>Date Sent:</b>
<b>Signed:</b>

<b>FAX:</b> 0203 228 5369
<b>EMAIL:</b> <a href="mailto:recruitmentservices@slam.nhs.uk">recruitmentservices@slam.nhs.uk</a>
<b>Directorate:</b>

**STRICTLY PRIVATE AND CONFIDENTIAL**

All references are dealt with in the strictest of confidence and only used in consideration of the application for employment.

**Please note that we may be obliged to disclose the reference to the applicant under the Data Protection Act.**

**Job Reference Number: CAM**

<b>Name of Candidate:</b>			
<b>Name of Referee:</b>			
<b>Nature of Relationship:</b>			
<b>Position Held:</b>	<b>From:</b>		<b>To:</b>
<b>Length of Service:</b>			
<b>Would you re-employ this candidate? If NO, Please give reasons.</b>			
<b>Yes</b>	<b>No</b>		
<b>Reason for leaving:</b>			

<p>In order to protect the public, the post for which the application is made is exempt from Section 4.2 of the Rehabilitation of Offenders Act 1974 (Exception Order 1975). It is not therefore in any way contrary to the Act to reveal information concerning convictions which would otherwise be considered spent in relation to this application and which you consider relevant to the applicants suitability for employment.</p>	
<p>Are you aware of any criminal convictions that the applicant holds? Please give details. <i>(please continue in additional information if required).</i></p>	
<b>Yes</b>	<b>No</b>

<b>Sickness/absence over the past two years:</b>		
	<b>Sickness</b>	<b>Unauthorised Absence</b>
<b>Number of days</b>		
<b>Number of occasions</b>		

**Please give an indication as to whether the sickness was related to a specific event, an underlying health condition or intermittent sickness.**

	<b>Very Good</b>	<b>Good</b>	<b>Satisfactory</b>	<b>Poor</b>
<b>Professionalism</b>				
<b>Effort</b>				
<b>Attitude</b>				
<b>Time-Keeping</b>				
<b>Integrity/Honesty</b>				
<b>Communication</b>				
<b>Use of Initiative</b>				

**How would you describe the candidate’s relationship with others, including superiors, colleagues and people in general?**

**Please comment on the candidate’s professional competence and personal qualities?**

**How would you assess the candidate’s skills and abilities against the job description?**

**Please give any other information that you think is relevant to this particular application (continue on a separate sheet if necessary).**

**Data Protection**

Due to Data Protection Legislation, employees can request access to their personnel file and records. Employee and job applicants have the right to access information held about them by an employer under 5.7

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of the Data Protection Act 1998. Although individuals have no right under the Act to obtain access to a reference from the organisation that gave it, no such exemption exists once the reference is in the hand of the organisation to which it has been provided. Thus a job applicant that SLaM receives references for may on application have access to them.

**Declaration**

I declare that the information given in this reference is true, accurate and complete.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

official
----------

**Please apply an official company stamp in the box provided or alternatively attach a company compliment slip.**

**Appendix K  
CONFIDENTIAL**

# APPROVAL OF REFERENCES

## APPOINTMENT OF STAFF - PRE-EMPLOYMENT ENQUIRIES

Name of candidate to be appointed:

Designation:

Location:

I confirm that:

- a) I have personally reviewed both\* references and that the content of both are satisfactory.
- b) I am satisfied that as far as can be established the references come from an appropriate source. (One of which should be the current Line Manager).

Comments:-

.....

.....

.....

Print Name: .....

Signed: .....

Designation: ..... Date: .....

**\*Internal candidates only require one reference unless working in the CAMHS Directorate**

On completion, this form must be forwarded to the Employee Services Team by fax: **020 3228 5369** or email to: [employeeservices@slam.nhs.uk](mailto:employeeservices@slam.nhs.uk)

Actioned by Recruitment Services: .....

(Name)

Signed: .....

Date: .....

**Appendix L  
APPLICANT CHECKLIST**

<b>NAME:</b>	INTERNAL SLaM EMPLOYEE: YES <input type="checkbox"/> NO <input type="checkbox"/> IAT REQUIRED: YES <input type="checkbox"/> NO <input type="checkbox"/>	
<b>CONTACT NO:</b>	SMARTCARD: YES <input type="checkbox"/> NO <input type="checkbox"/> C.O.S REQUIRED: YES <input type="checkbox"/> NO <input type="checkbox"/>	
<b>EMAIL ADDRESS:</b>		
<b>JOB TITLE:</b>		
<b>JOB REF:</b>	<b>BAND: 5</b>	<b>POSITION NO:</b>
<b>DIRECTORATE: Corporate</b>	<b>DEPARTMENT/SECTION:</b>	
<b>MANAGER'S NAME</b>	<b>TELEPHONE NUMBER</b>	<b>FAX NUMBER</b>

**REFEREE ONE**

<b>Name:</b>	<b>SENT:</b>	<b>REC'D:</b>	<b>SENT TO MGR:</b>	<b>CLEARED:</b>
Comments				

**REFEREE TWO**

<b>Name:</b>	<b>SENT:</b>	<b>REC'D:</b>	<b>SENT TO MGR:</b>	<b>CLEARED:</b>
Comments				

<b>Recruitment Process</b>	<b>Yes/No</b>	<b>Date</b>	<b>Sc'd</b>
Application Form enclosed	<b>Yes</b>		
ECF enclosed	<b>Yes</b>		
Job Description enclosed	<b>Yes</b>		
Interview invitation letter Printed from NHS Jobs and enclosed	<b>Yes</b>		
<b>After Interview:</b>			
Download application from NHS Jobs to ESR	<b>Yes</b>		
Completed interview record sheets enclosed	<b>Yes</b>		
Offer and Join Form completed and enclosed	<b>Yes</b>		
Offer letter sent with CRB, OH, DEC and Work Permit forms	<b>Yes</b>		
Acceptance received and work permit if required			
Declaration Form enclosed			
<b>CRB + Professional Membership/Academic Verification + Work Permit:</b>			
CRB Appointment – Form Ref: _____ DOB: _____			
Verification of Professional Membership/Academic Qualification: i.e.: NMC; BPS; Social Worker; Doctorate etc. PIN NO: _____			
Two Proof of address			
Work Permit sent (if applicable) to department			
<b>After Clearances Received:</b>			
CRB Disclosure No. _____			
Work Permit received from department			
Start date confirmed and Manager advised			
Join letter sent to candidate + Manager <b>Contract</b> <input type="checkbox"/>			
Update ESR - Offer Post Unconditional status			
<b>Final Appointment with HR Department:</b>			
Occupational Health Clearance <b>Received</b> <input type="checkbox"/> <b>Visit Nurse</b> <input type="checkbox"/> <b>Visit Dr</b> <input type="checkbox"/>			

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Health Screen after start date	<b>Yes/No</b>		
Signed onto ESR			
Signed Contract received			
New Appointment form sent to payroll			

All relevant ESR Fields completed by: Name: ..... Signed: .....

Dated: .....

*Sept 10*

**Appendix M****RECRUITMENT PROCEDURE FOR CONSULTANTS****CONSULTANT POSTS:**

Including Locum Consultant posts appointed for six – twelve months.

**Procedure:****Starting the Recruitment Process:**

1. To begin recruitment to a vacancy, the budget holder/Recruiting Manager (e.g. Clinical Director or Service Lead , must forward to Medical HR the following documents:
  - An electronic approved ECF which includes confirmation of the post reference number and cost centre an electronic advertisement, job description and Person Specification to Medical HR.

**Please note Employee Services cannot begin any recruitment without these documents**

**On receipt of the above documents, Medical HR will check that the post, that the correct salary and benefits elements are allocated to the post i.e. the correct salary scale, the correct on call supplement etc.**

- An electronic copy of the Job Description and Person Specification.
  - A copy of the approval for the post from the Regional Advisor, Royal College of Psychiatrists.
2. Please proof read the Advert, Job Description and Person Specification. Please ensure the Terms and Conditions of Service stated in the Job Description includes the up to date salary scale and London Weighting for the post. Add the closing date to the advert. This is normally 2 weeks from the date the advert appears in the BMJ. Medical HR will include the date of interview on the advertisement
  3. Add the vacancy to the 'Vacancy' spreadsheet, saved in the shared drive.
  4. Add the reference number to the advert.
  5. Set up an electronic Recruitment File under the relevant grade. Ensure that the title of the file is the post title and reference number i.e. Consultant in Liaison Psychiatry with job reference number
  6. Set up a physical Recruitment Folder, stating the post title, reference number and closing date on the front cover. Place all the recruitment documents in the folder and staple a recruitment checklist to the inside cover of the folder. You will need to keep this checklist up to date throughout the recruitment process.

## **Placing the Advert**

### **External Advert**

1. Posts are to be advertised externally in the British Medical Journal
2. Email a copy of the advert to the Advertising Agency. In the accompanying email you must state the following:
  - Publication - the advert is to appear in is the BMJ
  - Date of the BMJ edition the advert is to appear\*
  - The advert type is **'DISPLAY' (for substantive consultants only)**
  - The advert type is **'LINEAGE' (for locum consultants only)**
  - Section: Psychiatry

**\*Timeframes:** All adverts must be emailed to the Agency 10 days (on a Monday) before the date of the BMJ edition you want the advert to appear in. The BMJ comes out every Saturday so you need to ensure that you email your advert to the Advertising Agency by Monday two weeks before.

3. The Agency will send you confirmation that they have received your advert.

For Display adverts you will need to see a draft proof of the advert for your approval and email confirmation of the cost of the advert. You will need to check the proof against the copy of the advert you had originally emailed and confirm your approval.

For Lineage adverts the Agency will send you a follow up email confirming that the advert has been placed in the BMJ.

For both types of adverts place a copy of the advert and confirmation of the cost in the recruitment folder

### **NHS Jobs:**

1. Enter the vacancy onto NHS Jobs

### **Trust Intranet**

1. Enter the vacancy onto the intranet

### **Organising the Panel:**

1. As soon as the job description is sent to the College for approval, you will need to organise an interview panel and put the date of the interview in the advertisement. For consultant posts the requisite panel members are as follows:
  1. Non-Executive Director
  2. Medical Director
  3. Clinical Director
  4. CAG Associate Director
  5. Service Director
  6. Consultant from the specialty concerned, based outside the CAG the vacancy is in.
  7. Royal College Representative (please see point 3 below regarding how to organise this).
  8. University Representative (please see point 4 below regarding how to organise this).

2. Contact the panel members by email to organise a date for the interview. Interviews should usually be held 4 weeks after the closing date of the vacancy. The following recruitment schedule should be used:

From closing date –

- 2 weeks to short list
- 2 weeks to send out interview letters

3. **Royal College Representative:** you need to log onto the Royal College of Psychiatrists website and put in (**username “ and password “**), and follow the instructions to print a list of Royal College Representatives. Contact the doctors listed with the projected date of the interview until a representative has agreed to attend the panel.

You will then need to write to the Royal College to confirm the name of the representative. Send the letter with a copy of the Royal College approval. Save a copy of the letter in the electronic recruitment file and place a copy in the physical recruitment file.

4. **University Representative:** normally employed by the Trust
5. Once the panel has been organised, email the panel members' names to the Panel Chair and Medical Director for approval.
6. Once the interview date has been agreed, you need to book a venue.
7. Email the panel members confirmation of the details of the interview i.e. names of panel members, date, start and end times of the interviews and venue.
8. Contact Training Department to book a lap top if necessary
9. Contact the Clinical Director for confirmation of the 5 minute presentation title.

### **After Closing Date:**

### **Short listing:**

1. The next working day after the vacancy closes, shortlisting packs must be sent electronically to the panel members.
2. On return of the shortlist, rank the candidates. The number of doctors to include on the final shortlist and to invite to interview depends on the number of vacant posts. Usually for one vacant post a maximum of 4 candidates should be included on the final short list. E-mail the final short list to the Clinical Director and Medical Director for approval.

**Before the Interview:**

Send out interview invite letters. Include a site map

1. You need to order catering for the interviews. This can be done through the Clinical Director's PA. Please ensure that Catering is followed up
  
2. At least 3 days before the interviews send the panel agenda to the panel members.
  
3. The following interview documents should be taken to the interviews:
  - Originals of the application forms and CVs of the shortlisted candidates
  - Copy of Final Advert
  - Copies of Job Description and Person Specification for each panel member
  - Interview Record Forms. (Ensure that you transfer the criteria listed on the Person Specification onto the form).\*
  - Chair Sign Off Sheet\*
  - Copy of the catering form
  - Each panel member including yourself should have a name plate\*

**Day of Interview:**

1. Medical HR Assistants need to attend all interviews. Your responsibility is to observe and advise panel members on interview practice as well as to ensure that the interviews run smoothly. You need to ensure that they complete the Interview Record Forms
  
2. At the beginning of the interview set up the presentation equipment and organise the room into the agreed seating plan
  
3. At the end of the interview you need to ask the panel which panel member will be available to give feedback to the unsuccessful candidates. Ensure you take their contact number.
  
4. Also ensure that you collect the interview record forms

**After the Interview:**

1. You will need to call all the candidates and inform them whether they have been successful or not. For those who were unsuccessful, you will need to give them the contact number of the panel member who has agreed to give feedback.
  
2. Send the successful candidate a conditional offer letter within three days of the interview  
The letter should be sent with the following documents:
  - Occupational Health Form

- Appointment Form
  - CRB Form with instructions
  -
3. Request three references. Once received the references need to be sent electronically to the Medical Director and Clinical Director for approval.
  4. Record appointment on the vacancy spreadsheet. Begin completing the New Starter Checklist for the new doctor and keep this up to date.
  5. Make up a personal file for the successful candidate. You must ensure the following documents are placed in the file:
    - Copy of their Application Form, CV and any other documents the candidate may have sent.
    - Copy of their Interview Invite
    - Copies of their reference requests and the actual references once received
    - Job description, Person Specification and Advert
    - Copy of their presentation
    - A New Starter Checklist is stapled to the inside cover of the file and completed
  6. Close the physical Recruitment File and file in the 'Recruitment Archive' cabinets. These documents must be kept for a minimum of 5 years.
  7. Arrange an appointment for the doctor to attend Employee Services to complete their pre-employment checks.
  8. Once the pre-employment checks have been completed a start date has to be agreed on a SLaM Corporate Induction date
  9. Send contract within 2 weeks of the doctor's start date.
  10. Enter the doctor onto ESR prior to start date.
  11. Enter the consultants name on the "Eligible" Consultant list
  12. Enter the consultant's name on the "Consultant Threshold" list

**Appendix N****Version Control Sheet**

<b>Version</b>	<b>Date</b>	<b>Author</b>	<b>Status</b>	<b>Comment</b>
3	June 2013	Roddy Wells	Head of Employee Services	<p>The Process is now Appendix A</p> <p>Section 5.9 on page 6 removed as the content is covered by the Equalities Act.</p> <p>Clarified that pre-employment checks will be before confirmation of appointment but after a conditional offer is made. (Page 14)</p>

**Appendix O****Plan for Dissemination of Procedural Documents Policy**

To be completed and attached to any document which guides practice when submitted to the appropriate committee for consideration and approval.

Acknowledgement: University Hospitals of Leicester NHS Trust.

<b>Title of document:</b>	<b>Recruitment Policy</b>		
<b>Date finalised:</b>	June 2013	<b>Dissemination lead: Print name and contact details</b>	Pearl Pienaar  0203 228 2442
<b>Previous document already being used?</b>	Yes		
<b>If yes, in what format and where?</b>	Available on-line on Trust intranet		
<b>Proposed action to retrieve out-of-date copies of the document:</b>	To archive intranet version and inform all managers		
<b>To be disseminated to:</b>	<b>How will it be disseminated, who will do it and when?</b>	<b>Paper or Electronic</b>	<b>Comments</b>
All Senior Managers and Core Standard Leads	Placed on Intranet and email sent to all Managers by H.R. Director	Electronic	

**Appendix P**

**Equality Impact Assessment Summary** To be completed and attached to any procedural document when submitted to the appropriate committee for consideration and approval.

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