



V - HR P205 Safer Recruitment Policy

Version 1.03
11th July 2011

Vocare
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Links

V-HRF 1	Recruitment Authority Form
V-HRF 1c	Application Form
V-HRF 2	Safe Recruitment Checklist
V-HRF 2b	Reference Request Form
V-HRF 5	Staff Induction Checklist
V-HR P207	Criminal Records Bureau (CRB) Policy

1 Control

1.1 Document History

Version	Release Date	Author	Notes
1.01	1 st September 2009	Karen Taylor/Tracy Thomas	New version
1.02	16 November 2010	Annette Gibson	Revised & Rebranded, 2.0 added, 3.4 & 3.5 amended to refer to Form V - HRF 1 Recruitment Authority Form. 5.2 , 5.3 and 6 and 7.2 HR Team nominated as contact point, 8.4 - Exemption Form and Risk Register added. 9 fully reviewed to update Border Agency requirements. 18 & 19 amended to include reference to Eligibility to Work in the UK. 20 CRB portability and storage/destruction process added. 21 shown as pending. 23 amended to include reference to Exemption Form and Risk Register.
1.03	11 th July 2011	Chris Douglas	Amendment to section 22

1.2 Document Approval

Name	Role	Organisation
Dr Michael Harrison	Clinical Executive	
Dr Patrick Feeney	Clinical Executive	
John Harrison	Chief Executive	

1.3 Distribution

1.3.1 This document will be made available on NDUC's Intranet.

1.3.2 Controlled copies will be produced, distributed and maintained in accordance with NDUC's Quality Manual.

1.4 Master Copy

The master electronic copy of this document is held by

Name	Role	Contact
Chris Douglas	Procedure Controller	chris.douglas@nduc.nhs.uk

1.5 Review

Review Date	11 th July 2013
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2. Summary

- 2.1 Vocare are committed to having transparent, fair and equitable recruitment and selection processes in place and to ensuring that they are sufficiently robust to ensure the employees it recruits are trustworthy and reliable Introduction.
- 2.2 This policy applies to all companies within the Vocare Group, hereby referred to as “The Company”.
- 2.3 The Company aims to recruit the most suitable person for a post using procedures which comply with the law and are consistent with good employment practice.
- 2.4 It will develop positive practices to promote equality of opportunity in employment. It wishes to encourage staff to develop to their full potential, thereby making the best use of the considerable skills within the organisation.
- 2.5 The Company will endeavour to ensure that its recruitment, selection, training and promotion strategies and procedures provide equal opportunity for all persons regardless of gender, race, nationality, religion, ethnic origin or marital status, age, colour, disability, social background or sexuality.
- 2.6 It will ensure that all staff involved in recruitment and selection receive appropriate training and information in order that staff are selected, promoted and treated fairly according to their merits and abilities.
- 2.7 This policy applies to permanent staff, staff on fixed term contracts, temporary staff, sessional staff, volunteers, students, trainees, self employed contractors and agency staff. School and short term work placements may have a modified version of this policy applied as appropriate.

3. Management

- 3.1 Each recruitment exercise must be undertaken by a manager or Executive; they will be considered to be the Recruiting Manager for the recruitment exercise.
- 3.2 It is the Recruiting Managers responsibility to ensure that this policy is adhered to during each recruitment exercise.
- 3.3 Managers may recruit sessional and casual staff up to agreed staffing levels.
- 3.4 Recruitment for salaried employed positions whether new or replacement must be authorised by an Executive prior to any recruitment activity taking place on **Form V - HRF 1** Recruitment Authority Form.
- 3.5 **Form V - HRF 1** once authorised, should be passed to the HR Team who will work with the recruiting manager to commence advertising of the role.

4. Preparation

- 4.1 Before undertaking the process of recruitment the recruiting manager should consider the need for, and remit of, the role.
- 4.2 The following should be considered:
 - Is it necessary to fill the vacancy?
 - Do we need to recruit to the same level or the same number of hours?
 - Has the job changed or have changing work patterns created a different job?
 - Is this an opportunity to review the structure of the Department?
 - Are there any other vacancies in other departments which can be linked with this vacancy?
 - Are there any anticipated changes which will require different, additional or lesser skills?
 - Is this post suitable for job sharing or where the duties of a job can be split?
 - Does the post have any training requirements?
 - Is this a new post?
 - Has the budget been agreed?

4.3 In addition:

- An exit interview should have been completed with the previous incumbent if the recruitment is not for a new post.
- Interim cover for the position may need to be put in place until the recruitment process has been completed. Under normal circumstances interim cover should be for a limited time only; where it is anticipated that interim cover will be required for a period exceeding eight weeks this should be advertised as a secondment.
- The recruiting manager must take steps to avoid using a member of staff to provide interim cover if they have indicated an interest in the post under recruitment. Where this is not reasonably practicable the recruiting manager must ensure that the member of staff is not involved in supporting the recruitment process or put, or perceived to have been put, at an unfair advantage.

4.4 Once the decision has been made to undertake a recruitment drive a **V-HRF 1** Recruitment Authority Form must be completed and authorised. This must include a copy of the job description, person specification, advert and any other applicant information to be used in the recruitment drive.

5. Preparing a Job Description and Person Specification

5.1 No recruitment activity should take place unless an up to date job description and person description has been developed. For an existing post the process outlined in section 4 should also be completed.

5.2 The job description must include:

- Job title
- Who the position reports to (by Title)
- Key roles and responsibilities
- Skills, experience and qualifications
- Contracted Hours
- Hours of Work
- Salary or Salary Range
- Requirement to undertake an Enhanced CRB Disclosure
- Contract Type (eg permanent, fixed term, hourly paid, sessional or salaried)

5.3 Holidays, probationary period, pension scheme membership, information on the department and information on the Company should be explicitly clear in the information sent to applicants. This does not need to be included in the job description.

6. Advertising

6.1 All positions must be advertised internally for a minimum period of 5 working days. A notice of the advert must be placed on notice boards in each office / centre.

6.2 An advert for the position must also be placed on the Company website.

6.3 External media advertising and agencies may be used if authorised by the Executive.

6.4 Internal adverts must:

- Fit onto one piece of A4.
- It should include The HR Team as a contact point for further information.
- It should also contain that applications should be made via **V-HRF 1c** Application Form
- e.g. Applications should be made on our application form and arrive no later than <time> on <date>. Applications should be sent to: <Name>, <address including postcode>, <e-mail>
- State an Enhanced CRB check is required
- A closing date and interview date where applicable

6.5 If external adverts are used containing less detail, a copy of the internal advert must be included with the application pack for all applicants.

6.6 All applicants must be made aware that the possession of a criminal record will not necessarily be a bar to obtaining a position.

7. Short Listing

7.1 The short listing panel and short listing date will be agreed prior to recruitment commencing and be included on **V-HRF 1** - Recruitment Authority Form.

7.2 Prior to short listing the application forms will be separated and section 2 will be passed to the short listing panel; section 1 will be retained by the HR Team. Information contained in section 1 will not be used during the short listing process; individuals will be identifiable by their unique applicant numbers.

7.3 Short listing applicants for interview must be carried out by the Recruiting Manager and at least one other person.

7.4 A note must be made at the short listing session as to why each application has been short listed or not.

7.5 The following applicants must automatically be short listed:

- Disabled applicants who meet the minimum criteria for the post
- Internal applicants

8. Pre-Employment Checks - Pre-Interview

- 8.1 Some pre-employment checks are completed prior to interview with others only being pursued following an offer of employment; this includes CRB, occupational health checks and references where permission to contact pre-interview has been withheld. Pre-employment checks for candidates who are unsuccessful at interview will be retained on the recruitment file and destroyed in line with the HR file retention schedule.
- 8.2 Pre-employment checks should be recorded using **V-HRF 2 Safer Recruitment Checklist**.
- 8.3 All pre-employment checks must be made in compliance with anti discriminatory legislation, the Data Protection Act 1998, the Immigration, Asylum and Nationality Act 2006 and the recommendations laid out in the NHS Employment Check Standards 2008.
- 8.4 No unconditional offer of employment can be made or a person start work until satisfactory pre employment checks have been carried out including the following:
- Verification of identity and right to work checks
 - CRB check and Independent Safeguarding Authority registration as appropriate
 - Employment history reference checks
 - Registration and Qualification checks
 - Occupational health checks as appropriate
- 8.5 Where an individual commences employment with Vocare prior to all checks being completed, an Exemption Form will be completed and signed by a member of the Executive Team and the details added to the Risk Register.

9. Verification of Identity and Right to Work

9.1 This is designed to determine that the person is genuine and the documentation relates to a real person, and to establish that the individual owns and is rightfully using that identity. This method will allow us to check an individual's full names, signature, date of birth and full permanent address. This process satisfied the Border Agency requirements associated with Eligibility to Work in the UK.

9.2 Verification should be undertaken pre-interview.

9.3 Acceptable identification must be in the form of originals including one document from List 1, two documents from List 2 and two documents from List 3 which must include evidence of an individual's current home address, as outlined below:

List 1

- A passport showing that the holder is a British citizen, or has the right of abode in the United Kingdom.
- A document showing that the holder is a national of a European Economic Area country* or Switzerland. This must be a national passport or national identity card.
- A residence permit issued by the United Kingdom to a national from the European Economic Area country or Switzerland.
- A passport or other document issued by the Home Office which has an endorsement stating that the holder has a current right of residence in the United Kingdom as the family member of a national from a European Economic Area country or Switzerland.
- A passport or other travel document endorsed to show that the holder can stay indefinitely in the United Kingdom, or has no time limit on their stay.
- A passport or other travel document endorsed to show that the holder can stay in the United Kingdom; and that this endorsement allows the holder to do the type of work the employer is offering if they do not have a work permit.
- An Application Registration Card issued by the Home Office to an asylum seeker stating that the holder is permitted to take employment.

List 2

First Combination

- A document giving a person's permanent National Insurance number and name. This could be a: P45, P60, National Insurance card, or a letter from a Government agency

AND one of the following documents

- A full birth certificate issued in the United Kingdom, which includes the names of the holder's parents, or
- A birth certificate issued in the Channel Islands, the Isle of Man or Ireland, or
- A certificate of registration or naturalisation stating that the holder is a British citizen, or
- A letter issued by the Home Office which indicates that the person named in it can stay indefinitely in the United Kingdom or has no time limit on their stay, or
- An Immigration Status Document issued by the Home Office with an endorsement indicating that the person named in it can stay indefinitely in the United Kingdom or has no time limit on their stay, or
- A letter issued by the Home Office which indicates that the person named in it can stay in the United Kingdom; and this allows them to do the type of work that the employer is offering, or
- An Immigration Status Document issued by the Home Office with an endorsement indicating that the person named in it can stay in the United Kingdom; and this allows them to do the type of work that the employer is offering.

Second combination

- A work permit or other approval to take employment that has been issued by Work Permits UK

AND one of the following documents

- A passport or other travel document endorsed to show that the holder is able to stay in the United Kingdom and can take the work permit employment in question, or
- A letter issued by the Home Office confirming that the person named in it is able to stay in the United Kingdom and can take the work permit employment in question.

List 3

- Marriage Certificate
- Non-original UK birth certificate (issued after 12 months of date of birth)
- Valid TV licence
- National Insurance number card
- Connexions card
- Certificate of British nationality
- Valid insurance certificate
- Valid vehicle registration document
- Valid NHS card
- P45 / P60*
- Bank or building society statement*
- Utility bill (electricity, gas, water, telephone (including mobile phone contract/bill))*
- Credit or Store card statement*
- Mail order catalogue statement*
- Addressed payslip*
- Correspondence or a document from: the Benefits Agency; the Employment Service; the Inland Revenue; or a Local Authority*

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- 9.4 At least one document must provide evidence of current address; documentation marked * must be issued within the last 3 months.
- 9.5 At least one document must include your name and permanent national insurance number.
- 9.6 At least one document must be photographic e.g. passport, photo driving licence or a valid photo identity card (EU countries only). Original photographic evidence is to be produced in a face to face meeting with the applicant.
- 9.7 If an applicant is unable to comply with the identification requirements above all available documentation should be verified as above and the matter raised with the HR Manager. An applicant's inability to provide identification pre-interview will not be taken into consideration when making the decision whether or not to employ.
- 9.8 All original documents must be photocopied, validated, signed and dated by a nominated registered person, and stored on file. Any member of staff verifying identity must ensure that all documentation is checked thoroughly and cross referenced.

They must also:

- Check photographs with the individual present
 - Cross reference the date of birth
 - Confirm that expiry dates of leave to remain in UK are valid
 - Check government stamps to ensure the individual is entitled to do the work
 - Check the names are consistent. If different e.g. marriage then ask for the relevant confirmatory documentation
- 9.9 For passports and travel documents a copy of the front cover and any page containing the holder's personal details, together with any page containing government endorsements will be taken.

10. Employment History and Reference Checks

- 10.1 All references will be sought for shortlisted applicants prior to interview unless consent has been explicitly withheld. Reference requests will be made using **V-HRF 2b** - Reference Request Form.
- 10.2 The Company has a duty to ensure that all reasonable efforts have been made to check that referees are bona fide and references provided are genuine. This Company will ensure that all prospective new employees that appointment is conditional on satisfactory pre-employment checks and all application information will be checked. The potential new employee will be informed that any appointment may be withdrawn if they knowingly withhold, or provide false or misleading information.
- 10.3 The Company will check a minimum of three years past employment and/or training.
- 10.4 This will usually be from the two most recent employers and must include dates of employment, position held and duties performed. Ideally all references must be directed through the applicant's HR department.
- 10.5 If the applicant has been self-employed, evidence must be obtained to ensure that the business was properly conducted and the applicant's involvement in that business has been satisfactorily terminated.
- 10.6 All gaps in employment history should be explored.
- 10.7 Where applicants have overseas employment they must give a reasonable account for periods of over 3 months spent abroad. The Company will request proof of residence of time abroad, or references from overseas employers.

11. Registration and Qualification Checks

- 11.1 The purpose of registration and qualification checks is to ensure that the applicant is recognised by the appropriate regulatory body and that they have the correct qualifications for the job. The Company must ensure that any appointment is conditional on a satisfactory registration and qualification check and that any information disclosed on the form will be verified. The appointment may be terminated if any information given is false or misleading.

12. Registration Checks

- 12.1 Professional regulation is intended to protect the public. The Company will check the registration of all appointees with the relevant regulatory body where appropriate, and it is a requirement that all applicants provide consent to do so.
- 12.2 If the appointee has no registration, or is unable to obtain suitable registration within an appropriate timescale the offer of employment will be withdrawn.
- 12.3 Registration checks will determine that the appointee complies with required standards of competence and training and appear on a relevant professional register. A note must be made of any conditions attached to the appointee on any relevant professional register.

13. Qualification Checks

- 13.1 Qualifications checks confirm educational or professional qualifications. It may not be possible to see the original documents; however, the level of check should be proportionate to the level of risk in the individual role.

14. General Medical Council [GMC]

- 14.1 GMC will confirm a doctor's full name, GMC reference number, dates of registration, and whether this is provisional, full, specialist or limited. Their current registered address, sex, primary medical qualification, specialist qualifications, and due date for annual retention fee, must all be recorded.
- 14.2 At present the GMC will only include current suspensions, conditions, undertakings or warnings. Information from over 5 years ago is available via a link to the individual doctor's record.

14.3 The Company will check every doctor's registration status and fitness to practise prior to employment on line via www.gmc-uk.org , by telephone (Contact Centre: 0161 923 6602), by e-mail registrationhelp@gmc-uk.org or in writing to GMC, St James's Building, 73 Oxford St, Manchester, M1 6FQ.

14.4 Additionally, all doctors must demonstrate inclusion on the List of Registered Medical Practitioners and have a licence to practice.

15. Professional Indemnity Checks

15.1 All GPs must be a member of a medical defence society.

15.2 The Company must be able to check that any GP has appropriate medical indemnity insurance:

- Noting the expiry date
- Checking that the cover is adequate for the post, i.e. number of sessions and type of work to be undertaken

15.3 If necessary GPs must be asked to provide permission for the Company to contact the MDU by e-mail membership@the-mdu.com, telephone 0800 716 376 or fax 020 7202 1696.

15.4 If necessary GPs must be asked to provide permission for the Company to contact the MPS by e-mail info@mps.org.uk, telephone 0845 605 4000 or fax 0113 241 0500.

16. Performers' Lists

16.1 All GPs must be recorded on a PCT Performers' List. Inclusion on the Performers' List will be subject to reference to the use of Department of Health Alert Letters.

17. Nursing and Midwifery Council [NMC]

17.1 Nursing applicants will be required to be registered with the NMC. The NMC will provide registration details on registered nurses and midwives. Inclusion on the NMC register will be subject to reference to the use of Department of Health Alert Letters.

18. Interview Process

- 18.1 All interviews will be undertaken on a face to face basis; telephone interviews will not be considered as a suitable alternative.
- 18.2 The interview panel and interview date will be agreed prior to recruitment commencing and be included on the **V-HRF 1 - Recruitment Authority Form**; the interview will be led by the recruiting manager.
- 18.3 Prior to interview panel members will be given an interview pack containing:
- A Copy of the Safer Recruitment Policy
 - Copies of application forms
 - Blank interview report forms
 - A copy of the job description and person specification
 - A copy of the job advertisement and any other applicant information issued as part of the recruitment drive
 - Any references received pre-interview
- 18.4 Interview dates, times and locations must be confirmed to applicants in writing.
- 18.5 Interviews should be carried out in a suitable room and not in any open plan area.
- 18.6 Information should be collected as part of the interview process to show the individual is Eligible to Working in the UK.
- 18.7 Interviews must be carried out by the recruiting manager and at least one other person. Ideally the panel should include the person to whom the successful candidate will directly report.
- 18.8 Interviewers must not raise either directly or indirectly any issues such as gender, race, nationality, religion, ethnic origin or marital status, age, colour, disability, social background or sexuality.

- 18.9 Where appropriate, the recruiting manager must ask all applicants to confirm that:
- There are no restrictions attached to the registration which may affect the duties proposed.
 - There are no investigations against them regarding their fitness to practise that the regulatory body has a duty to disclose.
- 18.10 Candidates should be asked if they have any questions, concerns, issues which they wish to raise or additional information regarding their application which they wish to give.
- 18.11 Notes must be taken at the interview, and also record the decision making process. Ideally a decision regarding appointment will be made within three working days of the interview taking place.
- 19. Offer**
- 19.1 If not already obtained, information should be collected show the individual is Eligible to Working in the UK, prior to any formal offer of employment being made.
- 19.2 Any offer of employment is conditional on satisfactory completion of all appropriate pre-employment checks. Any offer of employment made verbally must be confirmed in writing.
- 19.3 Once an offer of employment has been accepted, verbally or in writing, any outstanding pre-employment checks, including references, should be completed. **V-HRF 2 Safer Recruitment Checklist** should be used to record all pre-employment checks. The recruiting manager is responsible for maintaining communication with the successful applicant while the checks are being completed and, once an unconditional offer of employment is confirmed, agreeing an appropriate start date and arranging the new starter's induction as per **V-HR P206 Induction Policy**.
- 19.4 Unsuccessful candidates should be notified of the outcome of the interview; this will normally be done within two weeks of the interview. Notification can be done verbally or in writing. Feedback should be offered to candidates should they require it. Any candidate requesting feedback should do so promptly after the outcome of the interview is confirmed and feedback should be provided within two weeks of the request being made. Feedback will normally be provided verbally.

20. CRB Checks

- 20.1 All prospective new employees must complete a CRB at Standard or Enhanced level prior to taking up employment. CRB disclosures will be undertaken in line with **V-HR P207 CRB Policy**. The Company will CRB check all prospective new employees irrespective of whether they have an existing CRB check with another employer. Existing employees will be asked to represent documentation to support a new CRB check if the Company has not already checked an individual, at the necessary level, in their current employment.
- 20.2 A CRB disclosure must be undertaken on every prospective new employee, even if they state they have never lived in the UK. This is in addition to their overseas criminal record
- 20.3 Checks will only be undertaken after a provisional appointment has been made. Prospective employees must be told that any offer of appointment may be withdrawn in the event of an unsatisfactory check. Similarly, any prospective employees must be informed that any offer of employment may be withdrawn if the individual knowingly withholds information or provides false or misleading information or fails to inform the employer of any relevant information whilst in his employment.
- 20.4 The checks to verify identity and the individual's right to work may also be used to satisfy the identification requirements for a CRB providing the criteria outlined in the CRB Policy is satisfied. Regardless of their use, any identification documentation must be checked, recorded and retained in the same way.
- 20.5 Any Disclosure revealing criminal record information will be given to the authorised designated senior manager and further consideration will be necessary in line with the CRB policy.

A CRB Enhanced Disclosure obtained by a company within the Vocare Group can be applied to any other employment appointment with and company within the Group, subject to the timelines stated within the CRB Policy.

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- 20.6 Where a Disclosure is reviewed under the CRB policy the recruitment process cannot be completed until after the CRB review process has been completed.
- 20.7 CRB Records are stored in a locked independent area and are destroyed within the timescales described within the CRB Policy.
- 21. Independent Safeguarding Authority Checks (Pending implementation or withdrawal of proposed Regulations)**
- 21.1 As appropriate all potential new employees and subsequently existing employees must be informed that they must apply to the Independent Safeguarding Authority for registration. It will be the individual's responsibility to register with the ISA.
- 21.2 The Company will check a potential employee's status with the ISA and, once having registered an interest in the individual as their employee will be automatically notified of any change in their status i.e. new information leads to an ISA decision to bar them.
- 21.3 The Company will have a duty to refer relevant information to the ISA. Relevant information will include, amongst other matters, where the individual has been dismissed because they have harmed, or may harm a child or vulnerable adult. This will include instances where the individual voluntarily leaves employment before being sacked on grounds that could lead to barring.
- 22. Occupational Health Checks**
- 22.1 All prospective new employees must be made aware that their offer of employment is conditional upon a satisfactory occupational health check.
- 22.2 Where appropriate occupational health checks will be undertaken by an external organisation that will also provide advice on employment in line with the Disability Discrimination Act 1995 as appropriate.

23. Withdrawal of a Provisional Offer of Appointment

- 23.1 Appointment must not be taken up until all relevant checks have been completed satisfactorily.
- 23.2 If someone has to be employed urgently, the offer of appointment must be provisional and conditional on the satisfactory outcome of all checks and be approved by a member of the Executive Team, using an Exception Form and the Risk register must be updated). This must be made clear to the appointee in writing. In the event the offer has subsequently to be withdrawn because of adverse checks, this must be discussed with and actioned in collaboration with the HR Manager.