57GB
Recruitment and Selection Policy

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<th>Policy number</th>
<th>57 GB</th>
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<tr>
<td>Version</td>
<td>3.2</td>
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<tr>
<td>Approved by</td>
<td>Governing Body</td>
</tr>
<tr>
<td>Name of author/originator</td>
<td>Toni Downer/ Bob Champion</td>
</tr>
<tr>
<td>Owner (director)</td>
<td>Elaine Newton, Executive Director of Governance and Compliance</td>
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<tr>
<td>Date of approval</td>
<td>October 2017</td>
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## Version control sheet

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Equality statement

NHS Guildford and Waverley aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others.

Throughout the development of the policies and processes cited in this document, we have:

- Given due regard to the need to eliminate discrimination, harassment and victimisation, to advance equality of opportunity, and to foster good relations between people who have shared a relevant protected characteristic (as cited under the Equality Act 2010) and those who do not share it;
- Given regard to the need to reduce inequalities between patients in access to, and outcomes from, healthcare services and in securing that services are provided in an integrated way where this might reduce health inequalities.

Members of staff, volunteers or members of the public may request assistance with this policy if they have particular needs. If the member of staff has language difficulties and difficulty in understanding this policy, the use of an interpreter will be considered.

We embrace the four staff pledges in the NHS Constitution. This policy is consistent with these pledges.

See next page for an Equality Analysis of this policy.
Equality Analysis

Equality analysis is a way of considering the effect on different groups protected from discrimination by the Equality Act, such as people of different ages. There are two reasons for this:

- to consider if there are any unintended consequences for some groups
- to consider if the policy will be fully effective for all target groups

<table>
<thead>
<tr>
<th>Name of Policy:</th>
<th>Recruitment and Selection Policy</th>
<th>Policy Ref: 57GB</th>
<th>Is this New? [ ] Or Existing? [ ✓ ]</th>
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<td></td>
<td>Date of Analysis: 23/03/17</td>
<td></td>
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<tr>
<td>Toni-Dee Downer, Senior Human Resources Manager</td>
<td></td>
<td>Director’s signature:</td>
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Who is intended to follow this policy? Explain the aim of the policy as applied to this group.

All CCG employed and non-employed resources. Successful recruitment relies on finding people with the necessary knowledge, skills, expertise, qualifications and values to enable them to make a positive contribution towards the aims and values of Guildford & Waverley CCG.

The CCG will not discriminate against any candidate on the basis of protected characteristics: ethnicity, gender, disability, age, religion and beliefs, sexuality or marital status. The CCG will monitor all stages of the recruitment process in order to report on activity for equalities purposes.

Who is intended to benefit from this policy? Explain the aim of the policy as applied to this group.

This policy is designed to ensure that all staff and non-employed resources are thoroughly checked prior to any appointment being confirmed (and in some cases routinely re-checked) and has been developed in line with the NHS Employment Check Standards issued by NHS Employers in 2008, and all updates. The CCG is also responsible for ensuring that all staff involved in the recruitment process complies with their legal obligations, including any requirements stipulated by relevant regulatory bodies.

1. Evidence considered. What data or other information have you used to evaluate if this policy is likely to have a positive or an adverse impact upon protected groups when implemented?

Demographic data
The results of consultations or recent surveys
Comparison between your policies and functions and similar policies and functions in other public bodies
Analysis of complaints of discrimination (none received)
Recommendations of inspection and audit reports

2. Consultation. Have you consulted people from protected groups? What were their views?

The Staff Partnership Forum were consulted with prior to publication to ensure that the policy is fit for purpose and relevant to the CCG. This included the impact to staff.

This policy ensures the compliance to employment legislation and adheres to the Equality Act 2010, therefore a full EIA is not recommended, as there are only positive impacts identified.
3. Promoting equality. Does this policy have a positive impact on equality? What evidence is there to support this? Could it do more?
Neutral effect. As detailed in the Equality Statement, policies can be made available in different formats for CCG staff with different communication needs.

4. Identifying the adverse impact of policies
Identify any issues in the policy where equality characteristics require consideration for either those abiding by the policy or those the policy is aimed to benefit, based upon your research.

<table>
<thead>
<tr>
<th>a) People from different age groups:</th>
<th>No adverse impact predicted from this policy.</th>
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<tbody>
<tr>
<td>b) Disabled people:</td>
<td>There are some aspects of this policy that may require line managers to make reasonable adjustments.</td>
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<tr>
<td>c) Women and men:</td>
<td>No adverse impact predicted from this policy.</td>
</tr>
<tr>
<td>d) Religious people or those with strongly help philosophical beliefs:</td>
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<tr>
<td>e) Black and minority ethnic (BME) people:</td>
<td>No adverse impact predicted from this policy.</td>
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<td>f) Transgender people:</td>
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<tr>
<td>g) Lesbians, gay men and bisexual people:</td>
<td>No adverse impact predicted from this policy.</td>
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<tr>
<td>h) Women who are pregnant or on maternity leave:</td>
<td>No adverse impact predicted from this policy.</td>
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<tr>
<td>i) People who are married or in a civil partnership:</td>
<td>No adverse impact predicted from this policy.</td>
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5. Monitoring  How will you monitor the impact of the policy on protected groups?
Implementation of this policy will be monitored continually and any equality impact concerns will be raised immediately to the Director of Governance and Compliance, with recommended amendments and reviews to the content of the policy to illuminate the negative impact to any vulnerable groups.
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1. Introduction and Policy Objective

1.1. Successful recruitment relies on finding people with the necessary knowledge, skills, expertise, qualifications and values to enable them to make a positive contribution towards the aims and values of Guildford & Waverley CCG.

1.2. The CCG will not discriminate against any candidate on the basis of protected characteristics: ethnicity, gender, disability, age, religion and beliefs, sexuality or marital status. The CCG will monitor all stages of the recruitment process in order to report on activity for equalities purposes.

1.3. This policy is designed to ensure that all staff and non-employed resources are thoroughly checked prior to any appointment being confirmed (and in some cases routinely re-checked) and has been developed in line with the NHS Employment Check Standards issued by NHS Employers in 2008, and all updates. The CCG is also responsible for ensuring that all staff involved in the recruitment process complies with their legal obligations, including any requirements stipulated by relevant regulatory bodies.

1.4. The employment policy of the CCG is to employ people on contracts of employment, which appropriately reflect the nature of their work. In the vast majority of cases, this means that people will be employed on permanent contracts. However, there will be circumstances in which it would be more appropriate to employ people on fixed term or temporary contracts. This policy sets out when such contracts should be used in place of permanent contracts and will ensure that such contracts are used only when it is both fair and justifiable to do so.

2. Scope

2.1. This policy covers all staff within the CCG; whether permanent, on fixed term contracts, temporary and agency staff, volunteers, students, trainees and contractors, and will supersede all other relevant policies under previous terms and conditions of employment held by individuals who have transferred into the CCG from other NHS organisations.

2.2. Special arrangements exist for the appointment of locum medical staff and agency workers. In implementing this policy, managers must ensure that all staff are treated fairly and within the provisions and spirit of the CCG’s approach to equality of opportunity in employment.

3. Core Standards

3.1. All recruitment activity should commence following a review of the need for the post which should be completed in advance of the recruitment campaign commencing following the Establishment Control Form being received in HR.
• Selection and assessment should always be a competitive process, except where redeployment is necessary to accommodate a disability, health needs, maternity, training or other similar situation. In these cases, advice should be sought from HR at the earliest opportunity.
• Internal candidates “at risk” should receive early consideration ahead of external candidates. This enables the CCG to make best use of staff resources and demonstrates a commitment to value staff, providing continuity of employment and nurturing personal motivation and development. It may be appropriate to advertise externally simultaneously with internal advertising.

3.2. Where possible, values based recruitment methods will be applied in all types of recruitment activity

4. Definitions
4.1. A “fixed term employee” is a person with a contract of employment which is due to end when:
   • A specific date is reached, or
   • A specific event does or does not happen, or
   • A specific task has been completed.

4.2. The term therefore covers most forms of non-permanent workers directly employed by the CCG. Examples of fixed term employees include:
   • People employed to cover for maternity, adoption and other carer-related leave
   • People recruited to cover peaks in work and whose contract ends when work returns to normal levels.
   • People employed to work on a specific project or task and whose employment is to end when the project/task ends.
   • People employed for a specific short period.

4.3. A “temporary worker” is a person working for a limited duration who is not classified as a fixed term employee. These people are excluded from the relevant legislation and include:
   • Students on work experience placements of one year or less that they must complete as part of a higher education course (but note that the policy does apply to students doing vacation work or gap year students with contracts that are not part of their course).
   • People employed on government-sponsored training, work experience or temporary work schemes designed to provide them with work experience to help them find work
   • Agency staff (as these staff are not employees of the CCG).

4.4. A “Non-Employed worker” is a person who is engaged to undertake a specific role
or project within the CCG. Examples of non-employed workers include:
- Governing Body Members engaged on a tenured period
- Contractors
- Consultants

5. Roles and Responsibilities

5.1. The Joint Accountable Officer
5.1.1. The Joint Accountable Officer (JAO) is accountable for ensuring the content of the policy is applied consistently and fairly across the organisation. The JAO is also accountable for ensuring adequate procedures are in place to ensure pre-employment checks are carried out in compliance with the law and with NHS Employment Check Standards.

5.2. Directors and Managers
5.2.1. Recruiting Managers are responsible for ensuring that they adhere to the policy in relation to any recruitment activities they undertake, including the following:
- Recruiting Managers must ensure completion of Establishment Control Form
- Recruiting Managers must enlist the assistance of their allocated administration to arrange booking interviews, with assistance from HR as required
- Recruiting Managers are responsible for obtaining and checking references in line with policy standards, and verification of the identity of applicants. They must discuss with HR any issues relating to the recruitment of individuals requiring sponsorship (eligibility to work in the UK), professional registration or any other concerns in relation to the recruitment process or pre-employment checks.
- Recruiting Managers are responsible for ensuring that Recruitment & Selection and Equality and Diversity training has been completed by interview panel members.

5.3. Human Resources
5.3.1. Human Resources is responsible for ensuring the content of the policy is applied fairly and consistently and for ensuring that Recruitment & Selection training is made available to managers, including regular update sessions.

5.3.2. Human Resources (HR) is responsible for overseeing the recruitment process, offering advice, guidance and support to managers and applicants as appropriate. HR will:
- Schedule the recruitment campaign with the recruiting manager once a completed Establishment Control Form has been received
- Be responsible for managing all of the required pre-employment checks before an offer of employment is confirmed.
• Undertake re-checks on current staff at specified intervals, where routine re-checks are deemed appropriate.
• Maintain appropriate records, using ESR and other systems, to ensure that the CCG is compliant with legal and professional requirements.
• Advise on recruitment procedures including equality and diversity compliance
• Produce a conditional and substantive offer and contract of employment/engagement (for non-employed resources)
• Advise and guide on suitable selection and assessment methods

5.4. All Staff
5.4.1. Staff are responsible for ensuring that:
• They maintain their professional registration where it is a requirement for their role.
• They inform their line manager and HR of any change to their Disclosure & Barring Service status as a matter of urgency. Failure to declare a conviction, caution or warning could lead to withdrawal of offer of employment, disciplinary action up to and including dismissal and referral to the appropriate professional regulatory body.
• They participate in the 3 year rolling programme for Disclosure and Barring Service review within the CCG, as required
• They maintain their right to work in the United Kingdom in accordance with UKBA, with a valid work permit. Any concerns should be raised with line managers and HR as a matter of urgency. Employees must not work if they do not have appropriate registration or right to work in the UK. However, they may work while their application is being considered, subject to confirmation from the UK Border Agency that their application has been received.
• Employees must partake fully and willingly with the requirements of their recruitment process when applying for internal opportunities, including the required pre-appointment checks undertaken by HR and the recruiting Line Manager.

6. Procedure
6.1. Establishment Control
6.1.1. To ensure adequate controls are considered, all recruitment activity will be required to be approved via the Executive Management Committee (EMT), held on a fortnightly basis.
6.1.2. All recruitment activity should commence following a review of the need and requirements for the post which should be completed in advance and submitted to EMT, with a supporting establishment control form and job description, for approval.
6.1.3. To enable a robust recruitment campaign, prior consideration and planning;
with advice and guidance from HR, will initiate the recruitment campaign commencing following the completed and approved Establishment Control Form being received in HR. A template is available on the CCG intranet.

6.2. **Advertisement**

6.2.1. Advertisements should be designed to attract as wide a group as possible of suitably qualified and experienced applicants. Advertisements should use clear language and be available in a variety of formats. They should be closely based on the person specification for the post as well as giving a realistic indication of the nature of the duties to be undertaken and informing prospective candidates about the organisation, its values and objectives. Further information should be available in other formats if requested, including large print, if appropriate. People from underrepresented groups can be encouraged to apply by statements in advertisements, and also by the appropriate placement of advertisements.

6.2.2. All advertisements should have the full job description is available to all candidates applying for the post. In addition, applicants should be aware of a contact name should they have any questions relating to the post. Questions relating to terms and conditions of employment should be referred to HR. HR will be able to advise candidates about applications via NHS Jobs and alternative methods should that be necessary.

6.2.3. In order to attract a wider application base or target underrepresented groups, external advertising may be used in addition to NHS Jobs. Given financial constraints, this should be done sparingly but may be appropriate depending on the nature of the vacancy. No advertising should be agreed unless it is clearly stated within the Establishment Control Form and costs accounted for.

6.3. **Short Listing**

6.3.1. Short listing should be carried out by a minimum of two members of the interview panel, one of whom must be the Recruiting Manager. All applicants should be considered against the person specification for the post. All notes relating to the short listing process and decisions must be forwarded to HR who will keep recruitment paperwork in line with guidance on the retention of documents. Only candidates who meet the agreed criteria should be shortlisted. Interview letters should advise employees requiring adjustments (such as additional time for tests, additional equipment or access requirements) to inform the interview panel in advance of the interview.

6.3.2. Managers are advised as part of the Recruitment and Selection training that the CCG is committed to ensuring that every consideration is shown to job applicants and employees who are disabled and also NHS staff who have
their application marked with an ‘R’ to identify their at risk status. Those candidates who meet the minimum criteria for the post will be short listed and invited for interview. This is the case even where the number of applicants necessitates that other applicants are short listed according to the desirable elements of the person specification. HR can offer guidance to managers on ensuring a fair selection process takes place.

6.3.3. Applicants who may require a Certificate of Sponsorship (previously, who required a Work Permit) should be short listed based on merit and invited to interview in the usual way. HR will be able to advise whether a certificate would be likely to be obtained based on evidence and guidance from UKBA, given the facts of the situation.

6.4. **Interviews**

6.4.1. Interviews must be conducted by a panel of not less than two staff members, one of whom must be the recruiting line manager. A majority of members of the interview panel must have undertaken Recruitment and Selection training in the last 3 years and be up to date with Equality, Diversity and Human Rights training. Questions asked during interviews should be related to knowledge, skills and competencies listed in the job description and person specification. Notes from successful interviews must be returned to HR who will keep them in line with guidance on the retention of documents. The application form, interview notes and any assessment results will be kept on the personal file of the successful applicant. Managers should retain notes from interviews for unsuccessful candidates in case of any challenges about the process.

6.4.2. In order to ensure that the CCG recruits individuals who share the organisational mission, vision and values, at least one question should assess candidates’ knowledge of and commitment to these. Advice and example questions can be sought from HR.

6.4.3. It may be appropriate to conduct assessments as part of the selection process, as a way of reliably assessing essential job-related characteristics. These may include literacy and numeracy assessments, typing and other competency based assessments. Advice should be sought from HR.

6.4.4. After the interviews, the recruiting manager should contact the successful candidate to inform them that they are progressing to the next stage of the process. HR will then make a conditional offer in writing to the successful candidate based on the information provided by the recruiting manager; and commence a number of pre-employment checks. These will be detailed in the conditional offer letter.
6.4.5. NHS Employers six Pre-Employment Standards Checks require that applicants’ identity and eligibility to work in the UK are verified at the interview stage and this can be done by a combination of acceptable evidence documents. A list of suitable documents can be found at Appendix 11.1, though staff should be aware that the UK Border Agency regularly update the eligibility categories and so up to date advice should be sought from HR.

6.5. Pre-employment Checks Standards and Procedures

6.5.1. Verification of Identity Check - The identity of a prospective staff member must be verified before the offer can be confirmed. Photographic ID should be used wherever possible. Only original documents or authorised replacements are acceptable and the subject must be present at the time of the check. A member of the HR Team must verify the documents, take copies of these and sign and date the copies to confirm verification. Appendix 11.3 gives a list of documents that are acceptable for identity checks and Appendix 11.4 gives guidance on how to check the authenticity of documentation.

6.6. Eligibility to work in the UK

6.6.1. It is a criminal offence to knowingly employ illegal migrant workers and there is a continuing responsibility for employers of migrant workers to check their on-going entitlement to work in the UK. Failure to do so can result in the CCG being prosecuted and penalised by up to £10,000 per illegal worker. Managers are encouraged to refer to the UK Border Agency website for more information: www.ukba.homeoffice.gov.uk. Identity and eligibility checks should be carried out in conjunction to the information given on this link, so that employers can satisfy themselves that the individual presenting the documents is their rightful owner. These checks must be repeated at least every twelve months where an employee has time-limited permission to live and work in the UK. It is the responsibility of the individual to obtain and meet the cost of any visa or travel entry clearance required. A member of the HR Team must verify the documents, take copies of these and sign and date the copies to confirm verification.

6.6.2. Should a case arise where a member of staff fails to comply with the UKBA requirements; preventing them from working with the CCG, then the case will be addressed through the CCGs Disciplinary Policy.

6.7. Declarations of Interest

6.7.1. At the point of conditional offer, all prospective employees are required to complete a declaration of interest form, which should be sent by a member of the HR Team along with a letter of conditional offer. Nil returns are required as part of this process.
6.7.2. Once returned, the recruiting manager (if not part of the Senior Delivery Group [SDG]) should review with a relevant member of SDG any declarations and mitigating actions and notify HR if additional information/clarification is required.

6.7.3. Once a satisfactory outcome to the declaration is confirmed by SDG member to the recruiting manager, they will notify HR that declarations are satisfactory.

6.7.4. Please see the CCG’s Standards of Business Conduct and Conflict of Interest Policy for more information (can be found on the CCG’s website).

6.8. Registration and qualifications

6.8.1. (where appropriate to the post) - Qualifications relevant to the position applied for must be verified by validating the original certificates at the interview stage (by the recruiting line manager). Where professional registration is a condition of the post, it is not necessary to re-check qualifications as this has been done by the professional body.

6.9. Employment history and reference checks (obtained by the manager)

6.9.1. Previous employment history should be checked before a conditional offer can be confirmed and a start date agreed. References should be cross checked against the application form as part of this process to ensure that any gaps are explained, and that the most appropriate referees are contacted. Employment history checks will also inform the continuous or reckonable service in regards to entitlement and this process of recognition is outline in section 8.7 of this policy. References should be obtained in writing and the following should be taken into consideration:

- It may be necessary to obtain a verbal reference to expedite an offer but this must be followed up in writing.
- Two references must be obtained and must cover at least a three year continuous period. References must be obtained from the candidate’s last two employers who are able to comment on the applicant from a supervisory/line management perspective.
- Character referees from colleagues, family members, friends, and other personal references are not acceptable.
- If candidates do not have recent employment history, then references from tutors/lecturers, social workers or established members of the community may be acceptable.
- Always ensure that permission to contact referees is granted before references are requested.
- Candidates may request to view their references, but this may only be supplied if consent has been given from the person giving the
reference. Candidates may be able to see references without this consent if they are only of a factual nature, e.g. length of service, sickness absence.

- Prospective employees should be informed that any offer of appointment may be withdrawn if they knowingly withhold information, or provide false or misleading information throughout the recruitment and selection process.

6.10. **Health screening (initiated by the manager)**

6.10.1. All staff must undergo pre-employment health screening. This adheres to equal opportunities legislation and good occupational health practice. Checks should take place only after an offer of employment has been made and should be completed by the applicant being health screened. The checks are designed to:

i) Ensure that prospective staff are physically and psychologically capable of doing the work proposed, taking into account any current or previous illness

ii) Identify anyone likely to be at excess risk of developing work-related illnesses from hazardous agents in the workplace

iii) 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 safe and suitable for them.

6.10.2. The process for checking should include:

i) A health questionnaire, sent to successful candidates with their conditional offer letter.

ii) An interview with an Occupational Health nursing adviser, if the questionnaire needs clarification, or where immunisation/vaccination is required, or where special duties of the post require separate health checks.

iii) Onward referral to an occupational health physician, if appropriate.

6.10.3. All checks must take into account the requirements of the Equality Act 2010 and may recommend that reasonable adjustments are made to ensure that people can work in the NHS regardless of physical impairment or learning disabilities. Occupational Health may be able to advise on what type of adjustments might be suitable, but the reasonableness of those adjustments is not for Occupational Health to judge. Managers should discuss any recommendations made with HR, considering them against service needs, equality and financial constraints.

6.11. **Disclosure & Barring Service Check** (where appropriate to the post)

6.11.1. The CCG uses the Disclosure and Barring Service (DBS) to assess an applicant’s suitability for positions identified as being exempt from the
Rehabilitation of Offenders Act 1974. Candidates are expected to be honest about all convictions, cautions and reprimands when completing their application forms, including the declaration of any ‘spent’ convictions where specified. The CCG considers all roles classed as “regulated activity” by the DBS to be exempt from the Rehabilitation of Offenders Act. In practice, this covers any role providing direct clinical care, as well as certain other roles with “frequent, intense and unsupervised” access to vulnerable groups. All individuals working in, or applying for such roles are obliged to disclose all criminal convictions, reprimands, warnings and cautions (even if they are “spent” under the provisions of the Rehabilitation of Offenders Act). All other roles are protected by the Act and employees and applicants are required to provide details only of current, “unspent” convictions, cautions, reprimands and warnings.

i) A criminal conviction will not necessarily exclude individuals from employment with the CCG. If a candidate discloses a conviction, caution or reprimand on their application form then managers should discuss the incident and any extenuating circumstances. Not all posts in the NHS require a DBS check. Managers should obtain guidance from HR at the start of the recruitment process, as the advertisement must indicate if a disclosure application will be carried out for the successful applicant. This may include a check of the list of individuals barred from working with Children, or with Vulnerable Adults, in line with the scheme.

ii) If an adverse disclosure is returned, HR will inform managers as to the next steps. If the incident was not discussed at interview, they should speak to the candidate at this point. The decision as to whether the individual can take up employment will depend on the time elapsed since the incident, the severity of the offence, any extenuating circumstances and whether or not candidates were honest on their application forms.

iii) If an individual is barred by the DBS, it is a criminal offence for them to work or attempt to work in regulated activity. Managers will be held criminally liable for recruiting barred individuals to work in regulated occupations. Barred individuals may be able to work in a controlled activity with an appropriate risk assessment in place.

iv) Once all pre-employment checks have been completed satisfactorily, a start date and induction programme can be arranged. HR will ensure that staff starting work before Payroll cut off will be added to the Payroll for that month. Managers will confirm with new starters details relating to payday and any other information required in support of accurate and timely payments being made.

6.12. Reckonable Service

6.12.1. The CCG confirms all reckonable service in relation to leave entitlement
prior to appointment of new starters.

6.12.2. The process for confirming reckonable service at pre-appointment stage is outlined in the attached Appendix 11.1, Reckonable Service Confirmation Procedure

6.12.3. The process for following up on those individuals who fail to satisfy the checking arrangements can be found in appendix 11.2

7. Internal Appointment from a Fixed Term Post/ External Appointment

7.1. People who are to be employed on a contract that is expected to last for 4 years or more must be employed on a permanent contract, although the expected duration of the role should be specified.

7.2. People who have been employed by the CCG on one or more continuous fixed term contracts which together last for four years or more must be transferred on to a permanent contract if they are re-engaged with no break in continuity of employment. This is irrespective of the expected duration of the new post, although this should be specified.

7.3. In other cases, the individual should be employed on a new fixed term contract, with continuity of employment being preserved if there has been no break. A break in service normally means that there is a clear week (Sunday to Saturday) during which time the individual is not employed by the CCG. However, an individual may retain annual leave, sickness pay and other benefits following a break under the national terms and conditions of service. Managers should refer to the HR contact for advice.

7.4. In all cases, it is important that the individual is aware of what will happen at the end of the contract and this should be set out in writing:
   i) Staff acting up will return to their substantive post.
   ii) Staff on secondment will return to their substantive post except where agreed otherwise at the start of or during the secondment.
   iii) In the case of staff employed on permanent contracts who are not acting up or on secondment, they will become “at risk” and will be considered for redeployment in line with policy on organisational change
   iv) Any redeployment arising will be on the terms and conditions applicable to the new post and will not be covered by any pay protection arrangements.
   v) In the case of staff employed on fixed term contracts, their employment will end on the due date.
   vi) Individuals may apply for vacancies within the CCG and will be given equal consideration with other applicants. Any appointment will be on the terms and conditions applicable to the new post.
7.5. The terms and conditions of employment of fixed term employees should be those applicable to comparative permanent employees. The HR contact should be consulted if a manager sees this as inappropriate before the appointment is made; all exceptions have to be objectively justifiable. An example of an acceptable variation could be the notice periods to be included in the contract. People employed on fixed term contracts will have access to information on vacancies within the CCG through internal communications media. All proposed exceptions to this policy must be referred to the HR contact for guidance before any decision is taken.

8. End of Fixed Term Posts

8.1. Secondments

8.1.1. As the secondment period comes near to an end, the manager should confirm to the individual that their placement is to end and it is good practice to confirm this in writing. The manager should liaise with the secondee's substantive manager on the arrangements for the individual's return to their substantive post, as defined in the secondment agreement. In cases where the post no longer exists, managers should liaise with HR contact. Notification must be sent to the HR contact for payroll purposes that the secondment has ceased, the relevant variation form must state the details of the post to which the individual is returning. All extensions to an existing secondment period must be agreed between the substantive line manager, the individual and the host. This agreement must be confirmed in writing to the employee and payroll informed.

8.2. Other Staff

8.2.1. As the fixed term period comes near to an end, the manager should confirm to the individual in writing that their fixed term contract is coming to an end and invite them to a meeting to discuss this. This meeting should take place in sufficient time to allow the manager to give the employee the relevant notice under the fixed term contract. At the meeting, the employee has the right to be accompanied by their accredited trade union representative or a workplace colleague employed by the CCG. At the meeting, the manager should discuss the reasons for the non-renewal of the fixed term contract. In the majority of cases the reason that the contract is not going to be renewed/terminate will be a substantial reason such as the expiration of the initial term or the completion of a task that the employee was employed to do. The manager should give the employee a chance to respond to this and consider any steps that may be taken to support the individual gain alternative employment, including ensuring they have access to the information about any vacancies. Following the meeting the manager should write to the employee notifying them of the decision and giving them the right of appeal. The appeal mechanism to be used is that set out in Disciplinary & Capability Policy.
8.2.2. At the end of the fixed term period, it is the responsibility of the manager to notify the HR contact of the change. Employees leaving the CCG at the end of a fixed contract which commenced on may be entitled to redundancy pay where:

- Their fixed term contract has been terminated by reason of redundancy; and
- Their continuous service with the CCG is 2 years or more, subject to national terms and conditions.

9. Management of Change
9.1. Specific practices and procedures will be used when people are to be displaced from their substantive job through organisational change. The normal consultation processes and management of change procedures will not, therefore, apply in the case of the termination of fixed term posts. At the end of the fixed term post:

- Staff acting up will return to their substantive post on the terms and conditions for that post.
- Secondees will return to their substantive post on the terms and conditions for that post, unless agreed otherwise at the start of or during the secondment period.
- Where a person with a permanent contract is displaced from a fixed term role and has no substantive position to return to, then they will be "at risk" and will be considered for redeployment in the normal way. That is, they will be given preferential consideration for vacancies seen by the CCG as suitable alternative employment at or below their substantive band. Managers should refer all such cases to the HR contact.
- The employment of other fixed term contractors will terminate. People employed on such contracts are encouraged to apply for jobs advertised internally but will not be given preferential consideration for posts.

10. Protection of Pay
10.1. Protection of pay is designed to safeguard pay when a person is required to move to a lower paid position as a result of organisational change. Accordingly, the policy will not apply to staff on a fixed term contract who transfer to another position at the end of their contract.

11. Fixed Term Post becomes Permanent
11.1. The situation may arise when a fixed term post is to be made permanent. In such cases the post should be advertised (internally/externally as appropriate) in the usual way; where the post covers a single specialism the manager has discretion as to whether to restrict the advertisement to internal candidates, subject to any national standards regarding such appointments. The person filling the fixed term post may apply for the vacancy and will be given equal consideration with other
12. **Contractors, Temporary and Agency Staff**

12.1. Temporary staff engaged by the CCG will have pre-appointment checks as outlined in section 6.5 of this policy. On occasions that managers use agency workers, they should ensure that the agency is recognised by and complies with the Government Procurement Service (GPS) (formerly Buying Solutions) [http://ccs-agreements.cabinetoffice.gov.uk/suppliers](http://ccs-agreements.cabinetoffice.gov.uk/suppliers).

12.2. The CCG will only use agencies that have provided assurance that they follow safe recruitment practice. The recruitment best practice is attached as appendix 11.5. Further advice should be sought from HR as to which agencies are approved NHS suppliers that comply with safe recruitment checking standards.

12.3. The following process should be applied for any ‘Contract for Services’ work to be procured:

12.4. **Project Initiation Document Review and Discussion**

12.4.1. An off payroll engagement can only be initiated in exceptional circumstances by identified specialists, it is recommended that a Project Initiation Document (PID) is produced and presented to Executive Management Team Committee (EMT) for review and approval, prior to engagement.

12.4.2. A template PID has been produced to enable a consistent and appropriate review of the requirement prior to authorisation. This has been attached as Appendix 11.6 for reference and is available on GWCCG Intranet staff portal.

12.4.3. Within this template, the requestor will prepare and present the reason for the request, the specific duties and schedule of outputs required and the cost to the organisation. The EMT review would ensure that:

- the project is a time-limited specialist requirement and therefore substantial employment would not be required;
- that there was no other current resource/employee available to deliver the required project and therefore an additional specialist would need to be appointed; and
- that there is a specified deliverable outcome identified and that the financial implications were known\(^1\).

\(^1\) THE HMT guidance does not specify any limit on the daily rate that may be paid to off-payroll workers. However it is advised that such a limit would be introduced within the NHS and the Department of Health are currently undertaking a review to establish this limit, therefore the process recommended has
12.4.4. Upon successful review of this proposal, an Establishment Control Form (ECF) would be completed, with the supporting PID and submitted to HR to initiate appointment.

12.5. **Engagement of non-employed resource**

12.5.1. Following EMT approval, an ECF will need to be produced and submitted to HR with the supporting PID. The requestor would need to identify the potential specialist that will deliver the identified project and ensure that HR are informed of their appointment status, whether this would be through an agency or undertaken by an Independent Contractor (*in a Business to Business relationship that complies with IR35 regulations*).

12.5.2. HR will then ensure that the appropriate letter of engagement and contract are obtained, also ensuring compliance of Right to Work and pre-engagement checks. This will include the completion of the Non Employed engagement and maintenance checklist, which has been attached as Appendix 11.7.

12.5.3. It is the managers’ responsibility to ensure that the Estates department are aware of any requirements (*including access to resources – ID Badge, desk space, kit etc…*) in good time prior to resources commencing work and no less than 2 weeks prior to the engagement commencing.

12.5.4. It is the managers responsibility to provide HR with all approved information that is to be contained within the letter of engagement, the appropriate type of contract the manager obtained, including identifying the end dates of contracts to ensure that the initiate financial agreement is not superseded. It is the managers’ responsibility to advise HR, Estates and Finance when a contract is drawn to a close, for whatever reasons.

12.5.5. This will enable HR to undertake maintenance of checks as and when required.

12.6. **Seeking Assurances from Off-payroll engagements**

12.6.1. In accordance with the recommendations and conclusions of the review of the tax arrangements of public sector appointees, it is recommended that the CCG initiates assurances from all off-payroll contractors that complete a continuous period of six months and receive above £220 per day. In addition to this requirement, the Remuneration Committee may also consider that 20% of all off-payroll engagements at any time are selected to provide assurance to the CCG irrespective of their contract duration and
all those engaged for a continuous period of 6 months or more must provide assurances to the CCG.

12.7. **The Assurance Process**

12.7.1. Prior to appointment, the CCG will determine the employment status of all proposed off-payroll workers through HMRC’s online Employment Status Indicator (ESI) tool [https://esi2calculator.hmrc.gov.uk/esi/app/index.html](https://esi2calculator.hmrc.gov.uk/esi/app/index.html) to determine if the worker is classed as self-employed or an employee for tax purposes. Then:

- if the worker is classed as self-employed – the CCG will confirm that the worker is registered to pay tax. For example if the worker has been working on a self-employed basis for a number of years they might provide their previous year’s business accounts and filed tax return, or if they are newly self-employed they will be able to provide form SA250 as evidence that they have registered as self-employed with HMRC. Once the evidence has been provided, the CCG will not need take any further action;

- if the worker is classed as an employee – they will be put on the ESR payroll system. If they are working through a limited company, assurance must be sought that they are applying IR35 legislation when appropriate with tax and NICs liabilities met.

12.7.2. **When it is identified that the worker is engaged directly**

12.7.2.1. Where the worker is engaged directly (not through a limited company or other body) the CCG ensures that they correctly classify the status of the worker as employed or self-employed as part of the pre-employment check. The CCG does this prior to the engagement starting as this is a requirement for every UK employer.

12.7.3. **When a worker engaged through a limited company or other intermediary**

12.7.3.1. Where someone is working through their own limited company (a ‘personal service company’ PSC) there is no requirement for the employer to operate PAYE and NICs. Instead, the worker must consider the Intermediaries’ legislation known as IR35.

13. **Documentation**

13.1. HR will keep all documentation relating to the recruitment of successful candidates as part of their personnel file. Line managers should retain all other documentation from the selection process for six months; including but not limited to interview notes on all applicants, application forms, test results etc. After six months, this
paperwork should be securely destroyed.

13.2. To ensure we meet our obligations as an employer, evidence of checks undertaken on prospective employees will be retained on the personnel file of each employee. This includes copying and countersigning the relevant pages of passports, which will be retained in the personnel file. Records will be kept on ESR and paper copies in personnel files as appropriate.

14. References
14.1. The following references have been used to ensure statutory and regulatory compliance:
   14.1.2. Equality Act 2010
   14.1.3. NHS Employers
   14.1.4. Rehabilitation of Offenders Act 1986
   14.1.5. Employment Rights Act 1986
   14.1.7. Employment Equality (Religion and Belief) Regulations 2003
   14.1.9. Crown Commercial Service
   14.1.10. Home Office

15. Approval, ratification and review process
15.1. This policy will be subject to review every 2 years and at any stage at the request of either management or the consultative committee.

15.2. Human Resources will review this policy, with any recommendations or required changes being presented to the Staff Partnership Forum for consultation, the Remuneration Committee for approval and the Governing Body for ratification.

16. Dissemination and implementation of the Policy
16.1. This document will be disseminated as follows:
   16.1.1. Copies will be made available on the CCG’s Intranet.
   16.1.2. The policy will be brought to the attention of all staff periodically through team brief and e-brief and monitored in line with normal assurance processes. Awareness and understanding required on an annual basis for all staff through Appraisal and PDP discussions.

17. Appendices
17.1. Process and Procedure for Reckonable Service Confirmation
   17.1.1. Guildford and Waverley CCG sets out clear, fair and consistent guidance on whether previous NHS and non NHS service is recognised the
procedure for recognising other service in order that it meets it equity requirements for all current staff and in relation to Section 12 of the NHS Terms & Conditions of Service Handbook regarding contractual continuity of service.

17.1.2. This process and procedure is for reckonable service for annual leave entitlement only. It does not confirm reckonable service for any redundancy payments. Within the CCG Contract of Employment, there are separate sections, which confirm the reckonable service for leave and the reckonable service for redundancy. The NHS Terms and Conditions of Employment clearly outlines the process for reckonable service in regards to any redundancy payment calculations which refers to previous continuous NHS service only. There is additional confirmation of any previous redundancy with the NHS being taken into account for individual employees, which is confirmed at pre-employment stage and stated within their contract of employment and therefore does not form part of this proposed procedure.

17.1.3. Process

17.1.3.1. An employee’s previous service with an NHS organisation will count as reckonable service for leave entitlement. This includes continuous service with other employers when an individual has formally transferred to NHS employment under Transfer of Undertakings (Protection of Employment) Regulations (TUPE), or other statutory instruments that transfer individuals’ employment between one employer and another.

17.1.4. Re-Appointment of Previous NHS Employees

17.1.4.1. On returning to NHS employment with the CCG, a previous period or periods of service with an NHS organisation will be counted towards the employee’s reckonable service to calculate leave entitlement in accordance with the NHS Agenda for Change Terms and Conditions of Employment.

17.1.5. Process to Gain Recognition of Previous NHS Service

17.1.5.1. In order for previous service with an NHS organisation to count towards reckonable service for the purposes of leave entitlement, the responsibility to provide evidence to verify previous NHS service is with the new starter/employee.

17.1.5.2. The new starter/employee must provide formal documentary evidence of any relevant, reckonable service verifying their previous Agenda for Change NHS service during the pre-employment check stage or alternatively within 6 months of joining the CCG if they want this to be considered for the
purposes of leave entitlement.

17.1.5.3. A reckonable service validation form will need to be completed and upon review and verification of the service outlined by the HR Department, this will need to be authorised by the employees/new starters line manager. A template is available on the intranet or from the HR Department.

17.1.5.4. Upon successful verification of previous service, as outlined in the procedure below, the confirmed service will be stipulated in the employee’s contract of employment with the CCG.

17.1.5.5. Until such time as the employee’s service has been verified, they will be given the minimum leave entitlement as stipulated within the NHS Terms and Conditions of Employment.

17.1.5.6. All NHS Service needs to be verified if it is to be counted by the CCG as reckonable service for leave entitlement. Unverified service will not be counted as reckonable service for leave entitlement.

17.1.5.7. The organisation will accept the following methods as verification/validation of previous NHS service:

- Inter Authority Transfer form
- Employment contracts and pay slips
- Confirmed previous employment history (dates and employer names required) via detailed pension/superannuation records
- P60s
- P45 if combined with pay slips etc.
- References from appropriate staff with an appropriate level of accountability for the post-holder

17.1.6. Non-NHS Organisation Service

17.1.6.1. The CCG does not automatically recognise non-NHS service as reckonable service for the purposes of leave entitlement for new starters on appointment.

17.1.6.2. This will include previous employment with GP services, Prison Services, Hospices, Local Authority, Civil Service and any other previous employment that was not under Agenda for Change contracts.

17.1.6.3. However, if the individual’s previous role with a non-NHS
organisation is relevant to their offered role with the CCG and complies with the principles set out below, there is an opportunity for Non NHS Organisation service to be reviewed on request for new starters within a 6 month period, post appointment for annual leave entitlement only.

17.1.7. Process to Apply for Recognition of Previous non NHS Service

17.1.7.1. The responsibility to provide evidence to verify previous non NHS service is with the employee. The principles that will apply with reviewing non NHS service are set out below.

17.1.7.2. All non NHS Service needs to be verified and authorised by the CCG Remuneration Committee if it is to be counted by the organisation as reckonable service for leave entitlement. Unverified service will not be counted as reckonable service for leave entitlement.

17.1.7.3. To ensure a fair and consistent approach, the CCG will apply the following principles when reviewing non NHS service

- A review of the previous role/skill set and relevance to their current CCG role
- The non NHS service is within ten years of commencing their employment with the CCG
- Confirmation that the previous employer/organisation has an affiliation with the NHS – e.g. Public sector, third sector, 'not-for-profit', GP. This does not rule out the private sector per se, but affiliation with the NHS must be considered for relevance to the role recruited
- Confirmed previous employment history (dates and names required) via detailed pension / superannuation records
- References from appropriate staff with an appropriate level of accountability for the post-holder

17.1.8. Counter Fraud

17.1.8.1. Consideration has been given to the inclusion of guidance with regard to the potential for fraud and corruption to occur and what action should be taken in such circumstances during the development of this procedural document. If there are any potential cases of fraudulent information being provided to support a request for reckonable service from a member of staff, please refer to the Guildford and Waverley CCG Fraud Policy.

17.2. Process for Individuals that do not meet the required Pre-Employment Check standards
<table>
<thead>
<tr>
<th>Pre-Employment Checks Concerns</th>
<th>Current Employment Check Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Identity Checks</strong></td>
<td></td>
</tr>
<tr>
<td>• Stop recruitment process</td>
<td>• Immediately suspend the member of staff from duty, pending further investigation in accordance with Disciplinary Policy</td>
</tr>
<tr>
<td>• Consult with HR over possible reference to police and/or NHS Local Counter Fraud Specialist, relevant Professional Registration Body.</td>
<td>• HR to advise on implementing disciplinary procedure and if necessary refer the issue to Local Counter Fraud Specialist and/or Professional Registration Body.</td>
</tr>
<tr>
<td><strong>2. Right to Work Checks</strong></td>
<td></td>
</tr>
<tr>
<td>• Stop recruitment process</td>
<td>• Terminate the member of staff immediately in accordance with the Disciplinary Policy. This should be done with the proviso that they will be reinstated if they can later prove the right to work in the UK.</td>
</tr>
<tr>
<td>• Notify previous employer if applicable and the UK Border Agency</td>
<td>• Staff can work if they prove that their visa application is being processed.</td>
</tr>
<tr>
<td>• Terminate the member of staff immediately in accordance with the Disciplinary Policy. This should be done with the proviso that they will be reinstated if they can later prove the right to work in the UK.</td>
<td>• Staff must provide legal evidence, e.g. letter from the UKBA or solicitor to confirm their application in progress by the home office. If necessary refer the issue to NHS Local Counter Fraud Specialist and/or Professional Registration Body.</td>
</tr>
<tr>
<td><strong>3. Registration and Qualification Checks</strong></td>
<td></td>
</tr>
<tr>
<td>• Stop recruitment process</td>
<td>• Suspend employee or redeploy to a role that does not require Professional Registration pending an investigation in accordance with the Disciplinary Policy.</td>
</tr>
<tr>
<td>• Consult with HR over possible reference to police and/or Local Counter Fraud Specialist and/or relevant Professional Registration Body</td>
<td></td>
</tr>
<tr>
<td>• Notify current employer if applicable.</td>
<td></td>
</tr>
<tr>
<td><strong>4. Employment History and Reference Checks</strong></td>
<td></td>
</tr>
<tr>
<td>Employment History:</td>
<td>Employment History:</td>
</tr>
<tr>
<td>• Stop recruitment process</td>
<td>1. Initially meet the employee informally in accordance with the disciplinary policy to investigate and explore the reasons for discrepancy</td>
</tr>
<tr>
<td>• Interview the candidate with HR advisor present to identify reasons for discrepancies and if there is no satisfactory explanation then the individual will not be employed by the CCG and if applicable current employer will be notified.</td>
<td>Reference Checks:</td>
</tr>
<tr>
<td>Reference Checks:</td>
<td>2. Not applicable</td>
</tr>
</tbody>
</table>
17.3. Lists of Acceptable Documents for Right to Work Checks

The documents that are considered acceptable for demonstrating right to work in the UK are set out in two lists – List A and List B. These are shown below.

**List A** contains the range of documents which may be accepted for checking purposes for a person who has a permanent right to work in the UK.

<table>
<thead>
<tr>
<th>5. Occupational Health Checks</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Full Occupational Health check should be undertaken. However, if the Occupational Health check identifies the individual as unable to work in the post then the individual must be notified and the recruitment process stops.</td>
</tr>
<tr>
<td>• Consideration will be given to reasonable adjustments if a disability is identified.</td>
</tr>
<tr>
<td>• Consideration would be given to notifying the current employer.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6. DBS Checks</th>
</tr>
</thead>
<tbody>
<tr>
<td>• If DBS Disclosure comes back with criminal conviction(s) confirmed, the information is provided to the line manager.</td>
</tr>
<tr>
<td>• Line manager confirms whether or not they were disclosed at the application and/or interview and if they were, then whether or not they are serious enough and relevant or not to the post. The line manager, in consultation with HR, needs to decide on that basis if the individual is employed to the post.</td>
</tr>
<tr>
<td>• If not disclosed at the interview, individual needs to explain why not and above factors need to be considered.</td>
</tr>
<tr>
<td>• If there is no satisfactory explanation or the DBS Disclosure is serious and/or relevant to the position then the recruitment process will be stopped and/or the offer withdrawn.</td>
</tr>
</tbody>
</table>

| • Refer to Sickness Absence Policy and consider reasonable adjustments. |

| • The CCG will undertake a 3-year rolling programme to request the renewal of DBS for those that require it for their role. |
| • HR will follow up all adverse DBS Disclosures with employees and their line managers. They will take into consideration whether or not the employee previously disclosed incidents, the nature of the incident and the time elapsed since it took place. |
| • Following preliminary investigation, employees may be investigated under the Disciplinary Policy or may be permitted to work with a risk assessment in place. |
List B contains the range of documents which may be accepted for checking purposes for a person who has a temporary right to work in the UK. If you follow the prescribed right to work checks, you will establish a time-limited statutory excuse. You will be required to carry out a follow-up check as set out below.

List A – Acceptable documents to establish a continuous statutory excuse

Acceptable documentary evidence for proof of identity List 1:

1. A passport showing the holder, or a person named in the passport as the child of the holder, is a British citizen or a citizen of the UK and Colonies having the right of abode in the UK.
2. A passport or national identity card showing the holder, or a person named in the passport as the child of the holder, is a national of a European Economic Area country or Switzerland.
3. A Registration Certificate or Document Certifying Permanent Residence issued by the Home Office to a national of a European Economic Area country or Switzerland.
4. A Permanent Residence Card issued by the Home Office to the family member of a national of a European Economic Area country or Switzerland.
5. A current Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder indicating that the person named is allowed to stay indefinitely in the UK, or has no time limit on their stay in the UK.
6. A current passport endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK.
7. A current Immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK, or has no time limit on their stay in the UK, together with an official document giving the person’s permanent National Insurance number and their name issued by a Government agency or a previous employer.
8. A full birth or adoption certificate issued in the UK which includes the name(s) of at least one of the holder’s parents or adoptive parents, together with an official document giving the person’s permanent National Insurance number and their name issued by a Government agency or a previous employer.
9. A birth or adoption certificate issued in the Channel Islands, the Isle of Man or Ireland, together with an official document giving the person’s permanent National Insurance number and their name issued by a Government agency or a previous employer.
10. A certificate of registration or naturalisation as a British citizen, together with an official document giving the person’s permanent National Insurance number and their name issued by a Government agency or a previous employer.
List B – Acceptable documents to establish a statutory excuse for a limited period of time

Group 1 – Documents where a time-limited statutory excuse lasts until the expiry date of leave

1. A current passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question.

2. A current Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder which indicates that the named person can currently stay in the UK and is allowed to do the work in question.

3. A current Residence Card (including an Accession Residence Card or a Derivative Residence Card) issued by the Home Office to a non-European Economic Area national who is a family member of a national of a European Economic Area country or Switzerland or who has a derivative right of residence.

4. A current Immigration Status Document containing a photograph issued by the Home Office to the holder with a valid endorsement indicating that the named person may stay in the UK, and is allowed to do the type of work in question, together with an official document giving the person’s permanent National Insurance number and their name issued by a Government agency or a previous employer.

Group 2 – Documents where a time-limited statutory excuse lasts for 6 months

1. A Certificate of Application issued by the Home Office under regulation 17(3) or 18A (2) of the Immigration (European Economic Area) Regulations 2006 to a family member of a national of a European Economic Area country or Switzerland stating that the holder is permitted to take employment which is less than 6 months old together with a Positive Verification Notice2 from the Home Office Employer Checking Service.

2. An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, together with a Positive Verification Notice from the Home Office Employer Checking Service.

3. A Positive Verification Notice issued by the Home Office Employer Checking Service to the employer or prospective employer which indicates that the named person may stay in the UK and is permitted to do the work in question.

*For further information about immigration, please refer to the Right to Work check
document of the NHS Employment Check Standards.

What to do if no acceptable photographic identification documents are available
If an individual genuinely cannot provide any form of acceptable photographic personal identification as outlined above, then the following combination of documentary evidence should be requested:

- Two documents confirming their current address from **List C**
- Two forms of non-photographic personal identity from **List D**; and a passport sized photograph of themselves.

Each of the documents provided should be from a different source and photographs must be endorsed on the back with the signature of a person of some standing in their community, a medical practitioner, officer of the armed forces, teacher, lawyer, bank manager or civil servant, who has known them for at least three years.

The photograph should be accompanied with a signed statement from that person, stating the period of time they have known the applicant. Always check that signature provided in the statement matches the one on the back of the photograph, and that it contains a legible name, address and telephone number so that information can be verified.

**List C: Acceptable confirmation of address documents**

Acceptable documents for confirmation of address include:

- Utility bill (gas, water, electricity or land-line telephone), or a certificate from a utility supplier confirming the arrangement to pay for the services on pre-payment terms at a fixed address. More than one utility bill may be accepted if these are from two different suppliers. Utility bills in joint names are also permissible.
- (UK)* local authority tax statement – for example, a council tax statement (UK and Channel Islands) **
- UK full or provisional driving licence (must include paper counterpart) – if not already presented as a personal photographic identity,
- UK full driving licence (old-style paper version), old-style provisional driving licences are not acceptable
- Most recent HM Revenue & Customs tax notification (i.e. tax assessment, statement of account, notice of coding but not a P45 or P60) **
- Financial statement such as bank, building society, or credit card statement* (UK and EEA. Non EEA statements must not be accepted)
- Credit union statement (UK)*
- Mortgage statement from a recognised lender** (UK and EEA – non EEA
- Local council rent card or tenancy agreement*
- Benefit statement, book or card; or original notification letter from the Department of Work and Pensions (DWP) confirming the rights to benefit – for example, child allowance, pension (UK)**
- Confirmation from an electoral register search that a person of that name lives at the claimed address.**

Providing documentary evidence for previous addresses may be difficult if your check covers a long period of time, therefore you may wish to carry out an electronic identity database search, for example a check against the electoral register. Any gaps in residence details should be handled sensitively and probed at the interview stage. There may be many reasons as to why this cannot be accounted for, such as foreign residence or travel unnecessary or disproportionate to confirm activities during that period. If a gap in residency is more than a period of three consecutive months or a period of six cumulative months, you should ask the individual to provide relevant documentation to cover the period in question, for example checking the individuals’ passport or other documentation to prove their stay in those countries. If the individual has been living abroad, ask them to provide confirmation of address such as a tenancy agreement or a bank statement.

**List D: Acceptable non-photographic proof of personal identification documents**

Acceptable non-photographic documents include:
- Full birth certificate (UK and Channel Islands) issued on or after the date of birth by the General Register Office or other relevant authority, for example registrars
- Full birth certificate issued by UK authorities overseas, such as embassies, high commissions and HM Forces
- UK full old-style paper driving licence – old-style provisional driving licences are not acceptable
- Work permit/residency permit (UK) valid up to the expiry date
- Adoption certificate (UK and Channel Islands)
- Marriage or civil partnership certificate (UK and Channel Islands)
- Divorce, dissolution or annulment papers (UK and Channel Islands)
- Gender recognition certificate
- Deed poll certificate
- Firearms certificate/licence (UK, Channel Islands and Isle of Man)
- Police registration document
- Certificate of employment in the HM Forces (UK)
- Benefit statement, book or card or original notification letter from the Department of Work and Pensions (DWP) confirming the legal right to benefit for example, child allowance, pension**
• A document from a local/central government authority or local authority giving entitlement such as Employment Services, Job Centre, Social Security Services (UK and Channel Islands)*
• Most recent tax notification from HM Revenue and Customs (i.e. tax assessment, statement of account, notice of coding, P45 or P60 (UK and Channel Islands).**

*All documents must be dated within the last three months, unless there is good reason for it not to be, for example where there is clear evidence that the individual was not living in the UK for three months or more. These documents must contain the name and address of the applicant.

** All documents must be dated within the last 12 months. Not denoted means that the document can be more than 12 months old. Acceptable documents for those who have recently left full time education (16 to 19 year-olds). When appointing someone who has recently left full-time education you should ask for one piece of personal photographic evidence; or where this is genuinely not possible, a passport sized photograph which is endorsed by a person of some standing in their community as indicated in the section above; and a combination of two of the documents listed below:
• A grant or student loan agreement from a local education authority (UK)
• Full birth certificate (UK and Channel Islands) issued after the date of birth by the General Register Office or other relevant authority, for example registrars
• Full birth certificate issued after the date of birth by UK authorities overseas, such as embassies, high commissions and HM Forces
• National Insurance (NI) number or proof of issue of an NI number – the majority of individuals will be automatically issued with a NI number at the age of 16 and this will be a HR requirement for employment
• A letter from their head teacher or college principal can be requested, verifying their name and other relevant information for example, address or date of birth (UK)
• A document from a local/central government authority or local authority giving entitlement such as Employment Services, Job Centre, Social Security Services (UK and Channel Islands)*
• A qualification certificate.

Acceptable documents for refugees and asylum seekers Refugees are people who have had a positive decision on their claim for asylum under the 1951 United Nations Convention Relating to the Status of Refugees (the Refugees Convention). Individuals who do not meet the Refugee Convention’s criteria for refugee status may qualify either for humanitarian protection (granted for a period of five years), or discretionary leave to remain (granted up to a period of three years). It is important for employers to refer to the Right to Work Check document of the NHS.
Employment Check Standards in relation to a refugee’s right to work and reside freely in the UK. Refugees will not normally have a passport and are unlikely to have copies of other official documents, such as birth certificates or photo identity cards. When granted leave to remain in the UK, a refugee will be issued with an Immigration Status Document (ISD) by the Home Office, which will indicate their refugee status. This document can be used to verify both their identity and their right to work in the UK. They may also have a travel document which can be accepted to verify their identity.

Further information on employing refugees can be found on the NHS Employers website: www.nhsemployers.org/RecruitmentAndRetention/RefugeeHealthcareProfessionals

Schemes which support the homeless to obtain relevant identity documents
Providing appropriate documentation when an individual is officially recognised as homeless is a challenge as they don't have any fixed abode and therefore are unable to receive benefits or other accepted documents which verify their identity and social history. If you operate schemes which support the homeless is getting back into the workforce, we would recommend that you refer individuals to the charity body, Crisis, who can help them to obtain a copy of their birth certificate or apply for a passport so that they can have some form of identity. Further details can be found on the Crisis website at: www.crisis.org.uk

17.4. Checking Documentation for Authenticity
Checking document authenticity is an integral and important part of the verification of identity check process. No single form of identification can be fully guaranteed as genuine and therefore the verification process must be cumulative. Employers must make clear, in writing, to all applicants that any relevant documents will be checked for authenticity either manually, through an appropriate body, and/or by the use of an electronic scanning device.

Passports (UK and overseas)
- Check the general quality and condition of the passport. Look out for page substitution, incorrect numbering of pages, damage to the cover or spine of the document, poor paper and print quality.
- Check that print is clear and even – print processes are deliberately complex on genuine documents.
- Check wording, issue and expiry dates – spelling mistakes are common in forged or counterfeit documents, especially on stamps and visas. Forgers often only alter the expiry date, so ensure this corresponds with the issue date.
- Check for damage – accidental damage is often used to conceal tampering, so treat any excessive damage with caution.
- Check photographs for signs of damage or for excessive glue – this could
indicate photo substitution. An excessively large photograph may be hiding another photograph underneath. There should be an embossed strip embedded into the laminate which will catch a portion of the photograph.

- Check watermarks can be clearly seen when holding the document up to the light.
- Check the name of the country of origin. Unofficial travel documents in the name of non-existent countries or countries no longer known by their original name are in circulation.

**Visas**

- Check for signs of alteration to the passport number or personal and issue details.
- Make sure details correspond with information in the individual’s passport.
- Check security features, such as watermarks, are intact.
- Check the image on the visa for signs of substitution.
- Check the wording for evidence of alteration or spelling mistakes.

**Biometric residence permits**

Employers may wish to refer to UK Borders Agency for further guidance.

**Photo-card driving licences**

Driving licences now contain similar security features to those present in passports.

- Examine the licence carefully, looking for any damage or adjustments.
- Ensure the printed details have not been changed.
- Check watermarks and security features are intact.
- Photographs will always be in greyscale, check this matches the applicant.
- Check the biographical details (i.e. name, date of birth) match the details of the applicant.
- Check the details on the card correspond with those on the photo-card, and compare the signature.
- Ensure the valid to date is the day before the owners 70th birthday (if the owner is over 70 this does not apply). Cross reference the valid to date with the applicant’s date of birth which appears in Section A of the counterpart document.
- Old-style paper driving licences Remove the document from the plastic wallet and check it is printed on both sides. It should have a watermark visible by holding the licence up to the light and there should be no punctuation marks in the name or address.
- Ensure the valid to date should be the day before the bearer’s 70th birthday (unless the bearer is already over 70). The valid to date can therefore be cross-referenced with the applicant’s date of birth, which appears on other verification ID.

**UK fire arms licences**
• Check the licence is printed on blue security paper with a Royal crest watermark and a feint pattern stating the words "Home Office". Examine the licence for evidence of photo tampering or any amendment of the printed details, which should include home address and date of birth. The licence should be signed by the holder and bear the authorising signature of the chief of police for the area in which they live, or normally a person to whom his authority has been delegated.

HM Armed Forces identity cards
• Check the card for any tampering or alteration of the printed details. You should note that such cards must be surrendered upon leaving the Armed Forces, therefore only those individuals who are currently serving in the Armed Forces will hold such a card.

UK Citizen photo-card
• Check the card has the PASS (Proof of Age Standards Scheme) hologram. This signifies the card is genuine and is recognised as valid ID under the law.
• The colour photo confirms the person presenting the card is the lawful card holder.

Every Citizen Card displays UV (ultra-violet) markings in the form of two 100% proof logos.

Birth certificates
Birth certificates are not wholly reliable for the purpose of verifying a person’s identity as copies may be easily obtained. Certificates that are issued shortly after the time of birth are more reliable than recently issued duplicates as these will not show if any information has been corrected or superseded by a new registration. Duplicate copies issued by the General Register Office will state “certified copy” on the birth certificate.
• Check the quality of the paper used – genuine certificates use a high grade.
• When the document is held up to the light there should be a visible watermark.
• Check the certificate format used is in the format for the year of registration.
• Check the surname only is entered in upper case and not the forename(s).
• Any signs of smoothness on the surface may indicate that original text has been washed or rubbed away.
• There should be no signs of tampering changes using liquid paper, overwriting or spelling mistakes.
• Ensure the date of birth and registration/issue dates are provided. The date of birth should be shown with the day and the month in words and the year in figures.
• Check the name and date of birth given in the application for match those given in the birth certificate.

Further guidance on checking birth certificates is available on the Identity and Passport Service website: https://www.gov.uk/government/organisations/hm-passport-office

Supporting documentation
Documents such as utility bills and bank statements support an individual’s identity and proof of address but they are not identity documents in themselves. Modern IT and the internet mean that supporting documents can be easily obtained or forged and, unlike identity document, do not have many security features that you can easily check. The following checks will help to identify any inconsistencies or anomalies.
• Check documents have not been printed off from online bills or statements – most companies will provide hard copies to customers on request.
• Check the document is on original quality headed letterhead paper. Pay particular attention to the company logo, as logos lose their quality when photocopied or scanned.
• Check for even folds on original documents – the vast majority of bills are machine folded before being sent to customers.

17.5 Recruitment of Agency and Contractor Placement Best Practice

Purpose
This is a process guide for Managers recruiting agency staff / Contractors to become familiar with their responsibilities within the process enabling them to:
• Identify where agency staff / contractors (non-employed resources) should be utilised
• Ensure that only Government Procurement Service regulated agencies are used
• Ensure that agency staff / Contractors are recruited and regulated according to national legislation

Definitions
Agency Staff: Temporary staff appointed via an external agency
Contractors (Non-employed resources): Those responsible for compiling with and managing their own Tax and National Insurance liabilities

Duties
Executive Directors and Senior Managers
Executive Directors and Senior Managers are responsible for ensuring that staff in their departments are aware of, understand and implement this best practice process for recruiting agency staff and contractors
Recruiting Managers
Recruiting Managers are expected to:

- Familiarise themselves with and follow this process and ensure that all non-employed staff recruited have the required skills and competencies to undertake their duties.
- Ensure all agency appointments have had all the necessary checks undertaken in line with this policy prior to appointment.
- Ensure the required verification of identity checks are undertaken in line of this policy
- Ensure that they are familiar with national legislation in relation to the regulations with regards to the employment of agency staff.

Agencies
Agencies supplying staff have a duty to complete pre-placement checks and provide assurance to the CCG that these checks are completed. This is achieved by the agency and will need to be confirmed prior to placement with the CCG.

Contractors
Contractors will need to complete pre placement checks with a member of the HR Team, which include identity checks, Right to work in the UK verification and sign an engagement contract prior to placement with the CCG.

Human Resources
The Human Resource Team can support managers to engage with agencies and ensure the standards outlined in this process are adhered to for the placement of all agency workers within the CCG. The HR team must be informed to ensure that all checks and relevant paperwork is completed and retained by the CCG as required. The HR team will also undertake audits to monitor the implementation of the process

Appointment Process
A flowchart has been included below to guide managers when engaging an agency or contractor in a placement within the CCG.
17.6 Appointment process for agency staff

- The Manager must identify that there is a temporary gap in staffing and that all other cover arrangements have been explored.
- The Manager completes an Establishment Control Form and, once signed by the Budget Holder, forwards the form to finance for approval.
- Finance approves and returns the form to the Manager. The Manager will then make contact with agencies and HR.
- A full list of Government Procurement Service approved agencies is available on https://ccs.cabinetoffice.gov.uk/suppliers?sm_field_contract_id=%22CM%2F AAC%2F09%2F5124%3AAII+Lots%22
- The Manager contacts the agency and requests staff at the relevant band. Further advice on banding can be sought from the HR Department.
• Full details of relevant staff, including CVs, should be sent through to the relevant Manager.
• A short telephone interview / in person interview (if practicable) can take place with candidates and should be arranged via the agency. This is good practice; however, it is optional at the Manager’s discretion. It is the responsibility of the Manager to ensure that the individual has the required skills and competencies to undertake the duties of the role.
• Once a candidate has been selected the agency will need to confirm all required checks have been undertaken in line with NHS Employment Check Standards for interim placements. HR will complete these checks for Contractors prior to commencement of their placement at the CCG
• The Manager must send the establishment control form, along with the relevant CV and references, to the Human Resources Department for final checking before the booking can be confirmed.
• The HR Department will verify the documentation and confirm with the Manager that the booking can go ahead.
• Identification documentation must be produced and verified

**Checks undertaken by the agency**

Employment agencies have a responsibility to undertake checks for all agency staff and to provide assurance that these are complete to the CCG.

The Government Procurement Service conducts audits of the agencies which are provided to the CCG. Any Agency that is not adhering to the standards following the audit is struck of the Government Procurement Service approved Agency list. The introduction of the Equality Act from 1 October 2010 makes it illegal to ask prospective employees questions about their health prior to their appointment. Agencies are however permitted, as part of the process of registering an individual with them, to ask the individual if they have any health conditions or disability which may require adjustments under legislation and which might need to be considered when offering them a placement. Agencies will be required to provide the CCG with written assurances that appropriate health screening checks have been carried out in accordance with the Equality Act 2010 and that a Certificate of Fitness for employment has been issued.

**Disclosure and Barring Service Checks (DBS Checks)**

A criminal record arises from a conviction in a court of law. There are also police records. Cautions, reprimands and warnings are issued by the Police as an alternative to prosecution, usually for less serious offences and usually after an offence is admitted. Criminal records do not normally include speeding and other minor driving or traffic offences.

The level of checks required for agency staff will be determined by the designated Manager in conjunction with Human Resources. There are three levels of
disclosure, basic, standard and enhanced.

The Agency must provide evidence that the appropriate DBS check has been undertaken within the last twelve months. The approved agency should provide assurance of the DBS check.

For Contractors, if a DBS is required, this will be carried out by the HR department.

References
As a minimum, agencies should seek and verify references covering at least three years of previous employment and / or training history for all staff that registers with them, in accordance with the NHS Employment History and Reference Check Standards. All reasonable effort must be made to check that all referees are bona fide and references are genuine. As with all other checks, the CCG will require written assurances that the agency has sought and followed up appropriate references and that these have been retained on file. The CCG will require the agency to provide copies of these references, and the referee contact details, to the Manager in advance of the placement being confirmed.

Registration and Qualification Checks
Registration and qualification checks ensure that agency staff are recognised by the appropriate regulatory body and has the right qualifications to undertake the post. The agency must ensure that qualifications for agency staff are verified before placement. They must also verify that current professional registration is in place prior to placement.

Full details of qualifications and professional registration checked should be noted. If qualifications and / or professional registration have not been verified the placement should not commence.

Prevention of Illegal Working
The CCG has a legal duty to prevent illegal migrants working in the UK in line with the Immigration, Asylum and Nationality Act 2006. While the CCG will not be deemed to be the employer of agency workers, it is essential that all agency staff have the required documentation to ensure they can work for the CCG legally and so that the CCG can establish that they have the right to work in the UK. If the required documentation cannot be verified then the offer of placement must be withdrawn.

Alert List
Where applicable, prior to confirmation of booking, the approved agency must forward confirmation that the agency worker is not included on the alert list.
Checks undertaken by the CCG
While the CCG will not be deemed to be the employer of agency staff and contractors, it is essential that certain checks are undertaken on the first day of placement. These are detailed below.

- The designated manager must meet the agency staff on their first day.
- The agency staff member/Contractor must provide original documents and present these to a member of HR.
- HR must verify the documents, take copies of these and sign and date the copies to confirm verification. If these are not provided, the agency worker cannot commence the placement.
- A copy of the placement contract and terms of placement must be provided to the HR department.

Concerns with placements
It is recognised that from time to time concerns may be raised regarding agency workers / Contractors. Wherever possible these concerns should be discussed informally with the Manager and the agency worker / Contractor.
If a serious concern / complaint arises the Human Resource service must be contacted for advice at the earliest opportunity.

Extending a placement
If a Manager wishes to extend an agency placement or Contractor beyond the planned termination date, the Manager must again complete an Establishment Control Form detailing the extended placement and resubmit the form to the Budget Holder and finance for approval. Once the form has been signed by the Budget Holder and finance, the form should be forwarded to the relevant member of the HR Team, noting that this is an extension and not a new placement.

Ending a placement
When an agency / Contractor placement ends, the Manager must notify the relevant member of the HR team and the agency (if applicable) to ensure records are updated.

Employing agency workers
In accordance with the new regulations with regards to the employment of agency staff, agency staff are entitled to have access to vacancies from day one which is new for the NHS.

The effect of this may be that the agency may require an introduction fee even if the application is for a completely different part of the NHS. This may vary from agency to agency and will require recruiting managers to check the terms and condition for the agency.
Agency/Contractor timesheets
Timesheets for agency staff / Contractors must be signed off by the relevant budget holder or line manager where authority has been delegated. Please note timesheets can only be authorised by a direct employee of the CCG and cannot be authorised by other agency staff.
17.7 Project Initiation Document for Off Payroll Engagement presentation to EMT (available on staff portal)

Project Initiation Template Guidance

Project Title:  Author:  Sponsor:

1. Purpose
A Project Initiation Document (PID) does the following:
- Defines and justifies your project and its scope.
- Secures initial funding for the project, if necessary.
- Describes the roles and responsibilities of project resources.
- Sets out the baseline to build a Business Case from.
- Gives people the information they need to be productive and effective right from the start.
- Ensures that the project has a sound basis before asking the Project Board to commit to make any major commitment to the project.
- Acts as a base document, against which the Project Board and Project Manager can assess progress, risks, issues, change and ongoing viability questions.

2. Outline for Business Case
This section should set out what the project is seeking to achieve. In it, describe the problem that the project is seeking to solve, the change the project wants to create, the creation the project is trying to achieve, as well as a full definition of the project.

This section will typically cover a summary of the following sections – the detailed ‘case for change’ can be set out thoroughly in the Business Case Template once the PID is approved:

Background:
What is the context of the project, and why is the work needed? Briefly describe the idea or problem, and discuss why this project is relevant and timely. Set the scene for the reader to engage in your current line of thinking from sharing a good solid background that then identifies and aligns to the purpose (above) of the project.

Purpose:
Why are you doing this work? Describe the desired end result of this project.

Objectives:
What specific outcomes will be achieved, and how will you measure these outcomes? Remember to limit the number of objectives for your project – four or five goals are typically enough.

Scope:
What are the boundaries for this project (for example, type of work, type of client, type of problem, geographic area covered)? List any areas excluded that you believe stakeholders might assume are included, but are not. The more specific you are, the less opportunity there is for misunderstanding at a later stage in the project.

Deliverables:
What will the project deliver as outputs? Where you can, describe deliverables as tangible items like reports, products, or services. Remember to include a date that each deliverable is expected. You’ll use this information to monitor milestones.

Constraints:
What things must you take into consideration that will influence your deliverables and schedule? These are external variables that you cannot control but need to manage.
Project Initiation Template Guidance

Assumptions:
What assumptions are you making at the start of the project?
If necessary, schedule work to confirm these assumptions.

Benefits:
Why are you carrying out this project, and what benefits do you expect it to deliver?
Include information on how these benefits will be measured.

Options:
What other courses of action were considered as this project was designed and developed?

Cost and Timescale:
Provide a breakdown of project costs and related financing. More detail can be provided in the section below.

Cost/Benefit Analysis:
How are the costs of the project balanced against the expected returns?

3. Risk Analysis

Risk Identification:
Identify the risks within the project, and that you'll either need to manage or accept.

Risk Prevention:
Describe what you are going to do to mitigate or manage risks.

Risk Management:
Where you can't present risks, what are your contingency plans for dealing with them? What actions will you take should the risk materialise?

Risk Monitoring: What processes do you have in place to routinely assess the risks associated with your project?

4. Stakeholders

Present a Project Organisation Chart/Structure:
Create a diagram that shows the lines of authority and reporting for each project team member.

Committee Responsibility:
Where will the Project report?
Who will the Project Board comprise of?
Detail the status the Project will have within the Trust

Project Sponsor:
Who has the ultimate 'Accountable' authority and control over the project and its implementation?
This role will be the SRO (Senior Responsible Owner) of the project

Project Manager:
Who is the Project Manager, and what are his or her responsibilities?

Project Team:
Who are the key members of the project team?
What are their roles and job descriptions?
What is their original department or organisation? And to whom do they report to on a daily basis?
Project Initiation Template Guidance

Stakeholders:
Who else has a ‘stake’ in the Project?
Who needs to be ‘Consulted’?
Who needs to be ‘Informed’?
What channels will be used to meet stakeholder requirements?
Who will the project need and want to interface with?
Dependency mapping – detail the internal and external dependencies of the Project

6. Initial Project Plan

Assignments:
What major tasks (with milestones) will be completed during the project?

Schedule:
Provide a report of the estimated time involved for the project.
You’ve probably already prepared a high-level Gantt chart or similar schedule, so the PID simply summarises the anticipated schedule.

People Resources:
How many days activity will be needed to complete the project?
How many support staff will be needed?
Will you need to bring more people onto the project team?

Project Engagement and Communication:
How will progress be monitored and communicated?
How will engagement of stakeholders be achieved?
The timing of communications and events

Quality, Governance and Change Control:
How will the quality of deliverables be evaluated and monitored?
How will change, beyond the approval of the PID, be monitored, recorded and tracked?
What Systems and Processes will be in place to control and organise the Project? Who will have ownership and responsibility of authorising and managing change and control?

Detail any contingency where required in the Project Plan.

Set out progress reporting cycles in the plan and detail how ‘exception’ reporting to the responsible committee will be managed. Detail the ‘Decision Points’ in the Project lifecycle – i.e. when key decisions must be taken.

Define the End Project Notification – how will closedown be achieved and full assurance of benefits realisation and implementation reached.

8. Costs

This section should be produced by the Finance Department and detail:

The main areas of cost and estimated value
Where will funding come from?
What budget is required?
What will the financial responsibility / accountability structure be?
Detail the ROI
Project Initiation Template Guidance

7. Support from Corporate Services
Please tick and confirm who this proposal has been approved by from the following corporate teams:

- Finance [ ] Name:
- HR [ ] Name:
- IM&T [ ] Name:
- Performance [ ] Name:
- Procurement [ ] Name:
- Other [ ] Name:
- Detail:

8. Approval

This section will be completed once the PID is approved and will set out:

Any Tolerances – management boundaries set by the approving Board/Committee that the Project Manager is free to make decisions about relating to time, cost and resources and where outside of these tolerances, approval must be sought.

Date of Committee approval and confirmation of those present:
## 17.8 Assessment Worksheet of Non-Employed resources engaged with the CCG

<table>
<thead>
<tr>
<th>Category</th>
<th>Name of Non-Employed Resource</th>
<th>Process of Engagement Compliant with Governance¹ and Financial² controls</th>
<th>Date of approvals obtained if total value exceeds £50k</th>
<th>Lead Name of Contract holder in CCG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Temporary Workers – Admin and Clerical</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interim Managers</td>
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<td></td>
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<tr>
<td>Specialist Contractors</td>
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<td></td>
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<td></td>
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<tr>
<td>Consultancy</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1 – Governance controls cover compliance around all policy and process for engaging non-employed resources; compliance of audit and best practice guidance for maintaining records, systems and processes to manage non-employed resources (including HMRC compliance and IR35

2 – Financial controls are covered in 1 above regarding compliance of CCG policy and process and also those controls introduced by NHSE
### 18. APPENDIX 1 Procedural Document Checklist for Approval

**Procedural document checklist for approval**

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

<table>
<thead>
<tr>
<th>Title of document being reviewed:</th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A</strong> Is there a sponsoring director?</td>
<td>Yes</td>
<td>Elaine Newton</td>
</tr>
<tr>
<td><strong>1. Title</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the title clear and unambiguous?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Is it clear whether the document is a guideline, policy, protocol or standard?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td><strong>2. Rationale</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are reasons for development of the document stated?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td><strong>3. Development Process</strong></td>
<td></td>
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</tr>
<tr>
<td>Is the method described in brief?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Are individuals involved in the development identified?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Do you feel a reasonable attempt has been made to ensure relevant expertise has been used?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Is there evidence of consultation with stakeholders and users?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td><strong>4. Content</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the objective of the document clear?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Is the target population clear and unambiguous?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Are the intended outcomes described?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Are the statements clear and unambiguous?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td><strong>5. Evidence Base</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the type of evidence to support the document identified explicitly?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>
# Procedural document checklist for approval

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

<table>
<thead>
<tr>
<th>Title of document being reviewed:</th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are key references cited?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Are the references cited in full?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Are local/organisational supporting documents referenced?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

## 6. Approval

- Does the document identify which committee/group will approve it? Yes
- If appropriate, has assurance been sought? Yes

## 7. Dissemination and Implementation

- Is there an outline/plan to identify how this will be done? Yes
- Does the plan include the necessary training/support to ensure compliance? Yes

## 8. Document Control

- Does the document identify where it will be held? Yes
- Have archiving arrangements for superseded documents been addressed? Yes

## 9. Process for Monitoring Compliance

- Are there measurable standards or KPIs to support monitoring compliance of the document? Unknown
- Is there a plan to review or audit compliance with the document? Yes

## 10. Review Date

- Is the review date identified? Yes
- Is the frequency of review identified? If so, is it acceptable? Yes
# Procedural document checklist for approval

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<th>Title of document being reviewed:</th>
<th>Yes/No/Unsure</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>11. Overall Responsibility for the Document</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is it clear who will be responsible for coordinating the dissemination, implementation and review of the documentation?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

**Director Approval**

On approval, please sign and date it and forward to the chair of the committee/group where it will receive final approval.

<table>
<thead>
<tr>
<th>Name</th>
<th>Elaine Newton</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Committee Approval**

On approval, Chair to sign and date so it can then be forwarded to the person with responsibility for disseminating and implementing the document and the person who is responsible for maintaining the organisation’s database of approved documents.

<table>
<thead>
<tr>
<th>Name</th>
<th>Phelim Brady</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## APPENDIX 2 Compliance & Audit Table

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Measurable</th>
<th>Frequency</th>
<th>Reporting to</th>
<th>Action Plan/ Monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointment of employed resources process followed to ensure robust and equitable recruitment campaigns</td>
<td>100% Documentation and actions to demonstrate process followed</td>
<td>Quarterly review</td>
<td>Governance and Compliance Director</td>
<td>Monitoring required on a quarterly basis</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Joint Executive Team</td>
<td>Training for all staff/line managers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Awareness of policy and process requirements</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HR advice and guidance as required</td>
</tr>
<tr>
<td>Engagement of non-employed resources process followed to ensure robust and legally compliant (HMRC) appointment</td>
<td>100% Documentation and actions to demonstrate process followed</td>
<td>Quarterly review</td>
<td>Governance and Compliance Director</td>
<td>Monitoring required on a quarterly basis</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Joint Executive Team</td>
<td>Training for all staff/line managers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Governing Body</td>
<td>Awareness of policy and process requirements</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Remuneration Committee</td>
<td>HR advice and guidance as required</td>
</tr>
<tr>
<td>All recruitment and personnel files maintained demonstrating compliance to processes and policies</td>
<td>100% Documentation and actions to demonstrate process followed</td>
<td>Quarterly review</td>
<td>Governance and Compliance Director</td>
<td>Training for all staff/line managers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Joint Executive Team</td>
<td>Awareness of policy and process requirements</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>required on a quarterly basis</td>
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