

1. Policy Statement

This policy provides a clear and consistent approach to recruitment, selection and induction practices, while complying with the relevant legislation. NHSBT values equality and is committed to embedding and promoting equality and diversity principles in the recruitment and selection of our employees. It is also essential that our workforce reflects the community we serve. This policy therefore applies to all managers, employees and applicants participating in recruitment, selection, and induction processes.

A probation period of 6 months will apply to all **new** employee* This is designed to give them opportunity to demonstrate their ability to achieve a satisfactory level of performance within their new role and objectively assess their ability to demonstrate our values and behaviours; capability and evaluation of competence; commitment and general suitability to their new post. During this time, it is important to remember that it's not just about us assessing if they are right for the job but also about whether their new job meets their own expectations and is right for them.

Existing employees, moving job roles will not be subject to probation, however may be managed through the full capability process.

The Recruiting Manager is responsible for ensuring that all employees who regularly participate in recruitment and selection attend the appropriate in-house recruitment and selection course. At least one member of the interview panel must have attended this and wherever possible all panel members should have attended. Anyone involved who has not attended the training, including external assessors and/or external agencies, must be aware of the Dignity at Work Policy.

General Principles

Selection decisions must be based on the candidate's abilities when assessed against the criteria within the person specification/recruitment profile for the job. Inappropriate or unjustifiable distinction should not form any part of the selection decision as this may constitute misconduct under the Disciplinary Policy and/or the Code of Conduct for NHS Managers.

Where a Recruiting Manager, or supporting member of the short listing and/or interview panel, notice an applicant who is someone they have prior knowledge of, are related to or have any level of personal relationship with, they must declare this to their recruitment contact for advice on how to proceed. It is however acceptable to interview internal employees, but it is recommended that the manager invites an independent panel member to provide an objective opinion at the interviews.

If a post is deemed to be Regulated Activity or otherwise requires a Disclosure and Barring Service Check (DBS)-applicants will be made aware of the level of the disclosure to be obtained in accordance with the Employment of Ex-Offenders and Referrals to the Disclosure and Barring Service Policy.

2. Recruitment Stages

The Recruitment and Resourcing Department (RRD) will guide Recruiting Managers through the requirements that apply at each stage of the process. For further information on the recruitment process see People First. Also available within People First is a useful flowchart “Working together to fill your vacancy”

Advertising

- To start the recruitment process, the recruiting manager will need to complete a Recruitment Request (‘see ‘forms’ in People First) to HRDirect@nhsbt.nhs.uk.
- As a minimum all job vacancies must be advertised internally (i.e. available to those working within NHSBT) in our Vacancies Bulletin available on People First. This includes posts that are to be filled based on permanent, fixed term / temporary or secondment opportunities. To ensure national consistency, exceptions to this must be agreed with a senior member of RRD and a record kept.
- Advertisements to attract external applicants will be placed on the NHS Jobs website which is free of charge.
- Recruitment to a post via a recruitment agency must only be used as a last resort. Direct advertising should be used initially, however if a post proves difficult to recruit to, or there are exceptional circumstances, consideration can be given to the use of recruitment agencies, provided this has been discussed with a senior member of RRD and the need and costs identified and agreed prior the recruitment commencing. The post must also be advertised in our Vacancy Bulletin and on the NHS Jobs website.
- Recruitment must not be by word of mouth. Enquiries for vacancies via unsolicited letters, telephone calls, informal visits and general enquiries should be responded to by inviting the enquirer to apply as part of the normal process for any vacancies that may exist by regularly viewing or setting up an alert email on the NHS Jobs website.

Short listing

- Short listing must be conducted fairly, by at least two people, using the agreed criteria on the Person Specification and/or Recruitment Profile and recorded.
- Overseas qualifications, degrees and diplomas, which are comparable with UK qualifications, will be accepted as equivalents (subject to registration requirements).
- We will not disqualify any applicant because he/she is unable to complete an application form unassisted. Reasonable adjustments will be accepted for the completion of the form including the use of assistive technology e.g. speech to text software.
- All applicants that indicate on the application form that they are eligible under the Employee Services Two Ticks scheme and who declare a disability will be shortlisted for interview provided they meet the essential criteria for the post, in accordance with our commitment to the Employment Services Two Ticks Disability Symbol, and any special arrangement reasonably required for interview shall be made.
- All internal applicants who have not been shortlisted for interview will be offered feedback by the Recruiting Manager.
- Due to the number of applications received, we are unable to provide feedback on short listing to external applicants.
- Random selection may be used as part of the short-listing process where appropriate.

Interview and selection

- An interview panel must comprise of a minimum of two people although a three-person panel is recommended.
- For appointments at Band 8A and above, it is our aim to include BAME representation wherever possible.
- Interviews and feedback must be based on our values and the person specification/ recruitment profile.

- The Recruiting Manager must ensure that all members of the interview panel are aware of the selection criteria for the post, which are applied consistently to all candidates and notes are taken for reference and retention.
- Where candidates with disabilities require 'reasonable adjustments' to enable them to undertake the post, they should be considered for appointment based on their abilities with reasonable adjustments, in comparison to the other candidates.
- All internal candidates who have not been successful will be offered post interview feedback by an appropriate member of the interview panel and feedback provided to external candidates on request. The feedback should include the reasons for them being unsuccessful.

Pre-appointment Checks

As an NHS employer, we must take appropriate action to prevent unsuitable appointments. Any necessary pre-appointment checks must be completed and validated (where appropriate) before the RRD can confirm a final offer of employment. The RRD will advise Recruiting Managers which checks will be required to be undertaken on which employees / candidate's dependant on the requirements for the role.

Any issues, concerns or anomalies identified will need to be reviewed by the Recruiting Manager, with HR support where required. The Recruiting Manager will hold an open and measured discussion with the candidate and an assessment may take place following the meeting as to whether the candidate can be appointed.

If, after careful consideration, it is decided to withdraw the provisional offer of employment, the grounds for withdrawal must be clear e.g. due to unsatisfactory references or other pre-employment checks and the offer of employment rescinded in writing. This decision must be made in discussion with a senior member of the RRD.

The requirement for employment checks is in accordance with NHS Employers guidelines, DBS guidance and Home Office UK Borders Agency requirements. These are referenced at the following websites: -

www.nhsemployers.org/employmentchecks

www.gov.uk

www.ukba.homeoffice.gov.uk

Dissemination, Storage and Archiving of Recruitment Documentation

Information provided by applicants in the Personal Information and Monitoring Information sections of the application form, will not be released to the Recruiting Manager, but will be retained by the RRD for monitoring purposes. Monitoring includes ethnic origin, age, gender, disability, sexual orientation and religion and is a legal requirement of the Equality Act 2010. The information is used to inform whether positive action initiatives are needed in the case of under representation amongst specific groups. The data is also used to make comparisons with census information to address any imbalances within the workforce profile as appropriate.

All recruitment documentation and notes taken for short listing or interviewing purposes must be returned to the RRD contact so that they may be retained for 12 months and disposed of confidentially.

Recruitment files will be retained for 12 months in accordance with NHS Terms and Conditions and then disposed of confidentially except those for Medical Consultant appointments which will be retained for 5 years.

Identity documents of unsuccessful candidates will be shredded by a member of the RRD department within a month of receipt or after any outstanding queries have been resolved.

Disposal of sensitive information relating to DBS Disclosures will be carried out in accordance with the Employment of Ex-Offenders and Referrals to the Independent Safeguarding Authority (ISA) Policy.

Application of Policy (Recruitment)

Any complaints regarding the application of this policy should be submitted in writing to the HR Direct Service Manager, via HRDirect@nhsbt.nhs.uk. Your complaint will be handled in accordance with the Recruitment and Resourcing Departments Complaint Handling Process.

Relocation

If you are required to relocate to comply with your contractual terms and conditions of employment and your manager considers that a move of home will make an appreciable difference to your ability to fulfil your job requirements, we may provide Relocation expenses to newly appointed/promoted colleagues on a permanent contract. Full details are contained within the Organisational Change Policy and supporting FAQ's.

Additional Employment

Should you wish to work for more than one employer, you must tell your manager at the earliest opportunity, normally at interview, or on your first day. They will discuss the details of your request and will ensure that your request does not have a detrimental impact on your ability to carry out your duties.

Your manager must consider the following when reviewing your request*:

- Any health and impact on you, your colleagues, or NHSBT
- any impact on your Wellbeing
- patient safety
- needs of the service
- potential conflicts of interest
- the Working Time Directive (WTD)

*this list is not exhaustive

[There is a checklist to support this process.](#)

If this is agreed this will be reviewed as part of your probation period, to ensure there is no detriment to you or the organisation. Should it be found that it is not sustainable at any time during your probation, and a solution cannot be reached, then this may give reason to refer you to a Final Review meeting to consider your future employment with us. For additional information on Additional Employment refer to the Flexible Working policy and supporting FAQ's.

3. Process

Induction and Probation

Induction enables new employees to be introduced to our organisational culture, values, and appropriate ways of working. Starting a new job can be an exciting, yet daunting, process for many people and it is our responsibility to provide an experience which is supportive and, above all, welcoming. We provide this welcome through our induction processes. This Policy provides a framework for managers to facilitate these processes effectively whilst also meeting our Legal responsibilities.

The Manager

Once you have offered a job after an interview process, RRD will complete all necessary pre-employment checks. On completion of these you will be advised, and asked to confirm you are happy with the checks and to agree a start date for your new employee. All new employees will be subject to a 6-month probation period.

At this point you will need to consider your new starters induction. Essentially, this requires you to design and establish the following:

- Establish which **Core Behavioural Framework** job role (service deliverer, line manager or senior leader) the individual will work towards
- Determine the individual's first **Personal Development Plan (PDP)** which will need to outline the necessary role development activities required for the job e.g. orientation of the facilities/department, booking a Corporate Induction date, key stakeholder introductions, and task-based training
- Establish and diarise the individual's induction review sessions.

It is important to recognise at this stage; a new employee will not demonstrate effective performance without at first having a clear sense of direction and identity within their new role.

Mandatory Training

We have a legal responsibility to ensure that all new starters, permanent or temporary, have completed their required mandatory training. All new starters will be allocated their corporate mandatory training automatically based on their job role. Should you have any queries about this, contact HR Direct

Induction is captured as part of the initial PDP process and reporting.

Core Behavioural Framework

This sets out the standards that describe **how** we do our job against each of our core behaviours. They provide new starters a clear set of expectations in line with our organisational Values and Mission. There are three frameworks, one for each of our specified job roles: Service Deliverer, Line Manager, and Senior Leader. You are responsible for the allocation of one of these frameworks to your new starter. A Core Behavioural guidance tool (See 'Developing People (OWD)/PDP /PDP guidance for new starters in People First has been developed to support you in making the most appropriate assessment.

The first PDP (New starters)

This starts the process of your new starter's learning and development, both personally and professionally. The PDP and PDPR processes are interlinked. The first PDP sets the objectives and identifies development needs for your new starter and forms the basis of their probation. On completion of probation, the PDP is updated, regularly reviewed in one to one discussions and will form the basis for their first annual PDPR.

First Week – you will provide a local induction normally on their first day, and identify training needs. This should be documented on the PDP and **reported using the PDP/R Reporting Tool** which should be completed within 7 calendar days of their start date

6 Month probation period – Monitor, review and update the PDP

You should explain this in detail to your new starter and the timescales involved, including any job specific training they need to complete. It is important that you support your new starter and ensure you both remain committed to the timescales in their PDP.

Should the new starter have difficulties with anything, this should be discussed at regular one to ones. Advise them that they can speak with you or a trainer when necessary.

End of probation – schedule date for updating PDP and diarise appropriate reviews

12 months from start date – schedule full year PDPR

The induction toolkit (see 'New starters/Preparing for your new starter in People First) will provide you with a list of options that you need to consider during the design of their first PDP in relation to your particular work area. A first PDP template is also available at New starter/During their first month).

You should focus the first PDP on all the priorities required for the job role, and must set clear and realistic timescales for completion. It is important that you explain the

requirements of the first PDP and its contents with the new starter during their local induction meeting so that they are clear on our expectations, and what may happen if they do not achieve this. The purpose of an induction programme is to provide a consistent means by which a new employee can be supported to become effective as quickly as possible and to enable you to objectively assess the capability, attitude and potential of the new employee.

Probation and PDP reviews

As their manager, you are responsible for setting up regular review meetings. These will focus on their performance and behaviour and offer an opportunity to identify any additional or remedial development and timescales which they need to complete to fulfil their PDP and probation requirements.

During the Induction and probation period a number of 1-2-1 review meetings must take place between you and your new starter to discuss their:

- Job performance
- Performance against our values and behaviours
- Conduct
- Attendance at work
- Training and development

Should your new starter identify any concerns within this period, they should raise this immediately with you, to enable you both to make any appropriate changes to their Induction and agree the targets, including performance to be achieved before your next meeting.

1-month formal review

You and your new starter will have been holding regular reviews during their first few weeks. As part of this process a 1-month formal probation review should take place. This will be an opportunity for you both to reflect on progress to date. If you have any concerns regarding their performance, as outlined above, then you will address this with them. If they have any issues regarding training, support or any other concerns, they should raise these.

NOTE: both parties do not have to wait until a review meeting to do this.

The PDP should be updated and agreed with any actions and timescales including when the next review meeting will be.

By the end of this review, your new starter should be clear of what is expected from both of you, for them to pass their probation period.

6-Month Formal Review

You will formally invite your new starter in writing, with reasonable notice, to meet with them to reflect on how the past 6 months has gone. They have the right to representation by a representative of a Trade Union you belong to or to be accompanied by an NHSBT employee. Where they have met all the required objectives within their first PDP, achieved the competency in their role specific training and they are happy in their role, you will confirm in writing that they have completed their probation period successfully.

If, however at this review it has been identified that their performance has **not** been meeting the required standards, you will advise them of one of the following:

- The standard required has not been fully met, and there are some minor actions to be completed before you can confirm their probation period has been passed
- **OR** the standard required has not been fully met, and that an extension of *no longer* than three months is appropriate for them to complete their PDP competency in their role specific training (a further review will then take place)
- **OR** that they have failed to meet the standard required and will be invited to a Final Review Meeting that will be held in accordance with the Recruitment and Induction Policy as soon as practicable.

As a manager, you can only refer the employee to a final review meeting where the probation process including fully supporting their induction and reviews has been followed. Should it be demonstrated that you have not done so, OR the timescales have not been followed without good reason, then your performance concerns cannot be addressed in the probation period. These concerns may only be addressed during the maximum period of 9 months, including any maximum extension period. Should you wish to address any concerns outside of these timescales, then these must be addressed under the full process in the Capability Policy.

Any issues occurring that are conduct related may be investigated under the Disciplinary and/or Capability Policy, and any action taken **under these processes** will then be considered as part of your probation review.

Fixed term under probation

All new employees on fixed term contracts will have the same probation period as permanent employees.

Therefore, to ensure that they have the right start and are right for us, it is important that as their manager you follow the same process as for permanent employees.

Attendance during the probation period

All sickness absence will be monitored under the Attendance Policy in the normal way. However, should **Short term absence** – (sickness) occur within their probation period this will count towards the review of their overall performance during their probation period and therefore the following triggers will apply:

- the triggers must be pro-rata over 6 months i.e. 8 working days sickness absence or 2 instances (or pro-rata if part time)
- Should they trigger, this may be an indication of future performance and therefore may be considered to be grounds for them to fail probation, and therefore to be referred to final review meeting.
- As a manager, you will consider all factors and may apply discretion.
- Any indication or pattern of unacceptable levels of sickness absence during their probation will be carefully considered and therefore to be referred to final review meeting.

Long term absence – should your new starter be unfortunate enough to have long term absence (an absence of more than 4 weeks), during their probation period, following their return to work you may need to establish the detailed reasons for their absence.

If the absence is a single episode, you may consider extending their probation period equal to, and not more than, the absence period. This extension, however, will be a maximum of 3 months. A long absence may be an indication of future performance and therefore may be grounds on its own for them to fail probation, and therefore to be referred to final review meeting.

Should long term absence follow short term absence this may be considered to be grounds on its own for them to fail probation, and therefore referred to final review meeting.

Patterns of all time off work, including non-sickness related absence, will also be monitored to ensure that they are within normal expectations of all employees. All planned absence must be arranged and considered in accordance with the Time off Work Policy.

Once the probation period is satisfactorily complete, any absences incurred during the probationary period will transfer and continue to be monitored in line with the Attendance Policy.

All reasons for referring to a Final Review Meeting during probation must be in accordance with the Recruitment and Induction Policy.

Health Conditions

If you are not aware of a condition or issue they may have, you can only make decisions based on the information you have or are provided with.

Therefore, new starters are encouraged at any stage of their employment with us, to share information with you of any underlying condition or support they may need. This allows you to work proactively, and set reasonable expectations for both of you. Encourage them to talk to you confidentially, and use the 'Tailored Adjustment Agreement' to record your discussions.

Conduct under probation

As part of probation, and beyond, any conduct matters will be managed under the Disciplinary policy. Should you have cause to investigate conduct and issue a sanction, this may be an indication of future performance and therefore may be grounds on its own for a new starter to fail probation, and therefore to be referred to final review meeting.

All reasons for referring to a Final Review Meeting during probation, must be in accordance with the Recruitment and Induction Policy.

Notice under probation

Should they resign during their probation period, they will need to provide statutory notice, which is equal to one week. This is the minimum notice requirement. They should discuss their notice requirements with you, to ensure an appropriate handover of duties and current work can take place. Should we provide them with notice following a Final Review Meeting, this will also be statutory notice.

Referring to a Final Review Meeting

As the employee's manager, you will need to set out the key reasons for your decision to refer to a Final Review meeting. This will be a brief summary supported by any key documentation such as PDP; any action plans; appropriate correspondence etc. This will be provided to a senior manager, normally the employee's manager's manager or identified suitable alternative person.

Final Review Meeting

This meeting will be held without reasonable delay and the employee will receive reasonable notice to attend. This meeting will be held with the next level of management to that of the employee's manager, or identified suitable alternative person. The manager may also be supported by another manager. This may be someone who has the required operational knowledge or a member of the HR team.

The employee will have the opportunity to provide details of any issues they have had with achieving the required performance standards and/or any mitigating circumstances that they wish to be taken into consideration by the manager. They have the right to representation by a Trade Union you belong to or to be accompanied by an NHSBT employee.

The possible outcomes from this meeting will be: -

- Dismissal with **statutory** notice on grounds of capability
- Extension of the probationary period
- Confirmation of successful probation period.

The outcome will be confirmed in writing by the manager within 7 calendar days of the meeting.

Dignity at Work

It is important that the dismissing manager in their contemplation for dismissal has reviewed the Dignity at Work Policy. Any questions or concerns about the case must be discussed in full with Human Resources before the Final Review meeting is held.

Making an Appeal

If you are not satisfied with the outcome of your probation dismissal you can appeal against the outcome and decisions taken.

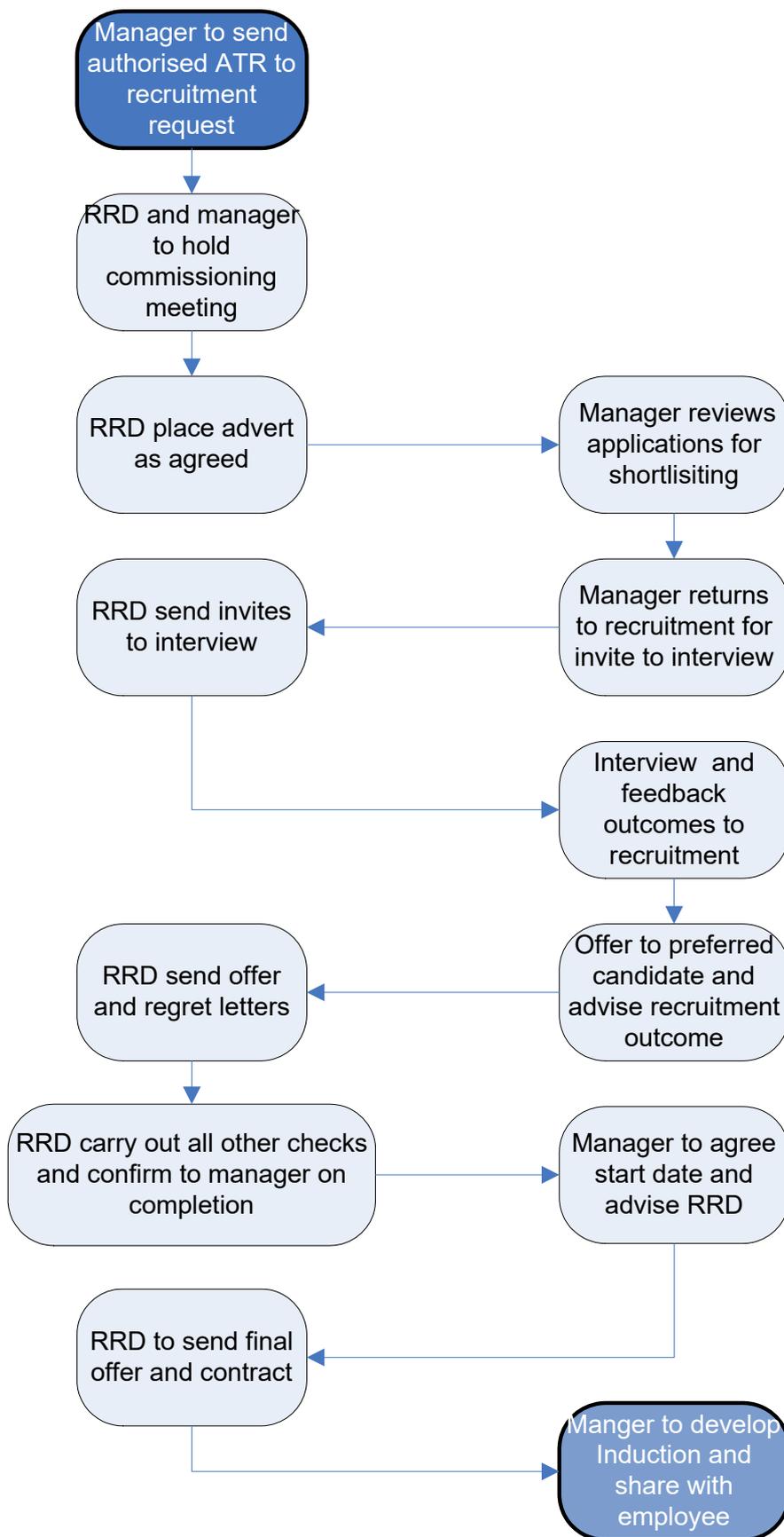
- This needs to be in writing, within 7 calendar days of the date of the letter confirming the outcome. The letter should be sent to the Appeals secretary
- Within 21 calendar days from the date of the outcome letter, you will be required to provide full details of your grounds for appeal, making clear what resolution you are seeking
- This will then be provided to your manager for them to prepare their response to your grounds of appeal, which will be provided to you a minimum of 7 calendar days before the appeal

An appeal will be held, again without unreasonable delay. A more senior manager than the manager who heard the original case and not previously involved in the process, will chair the Appeal. It will also be supported by a HR representative and a nominated National senior staff side representative.

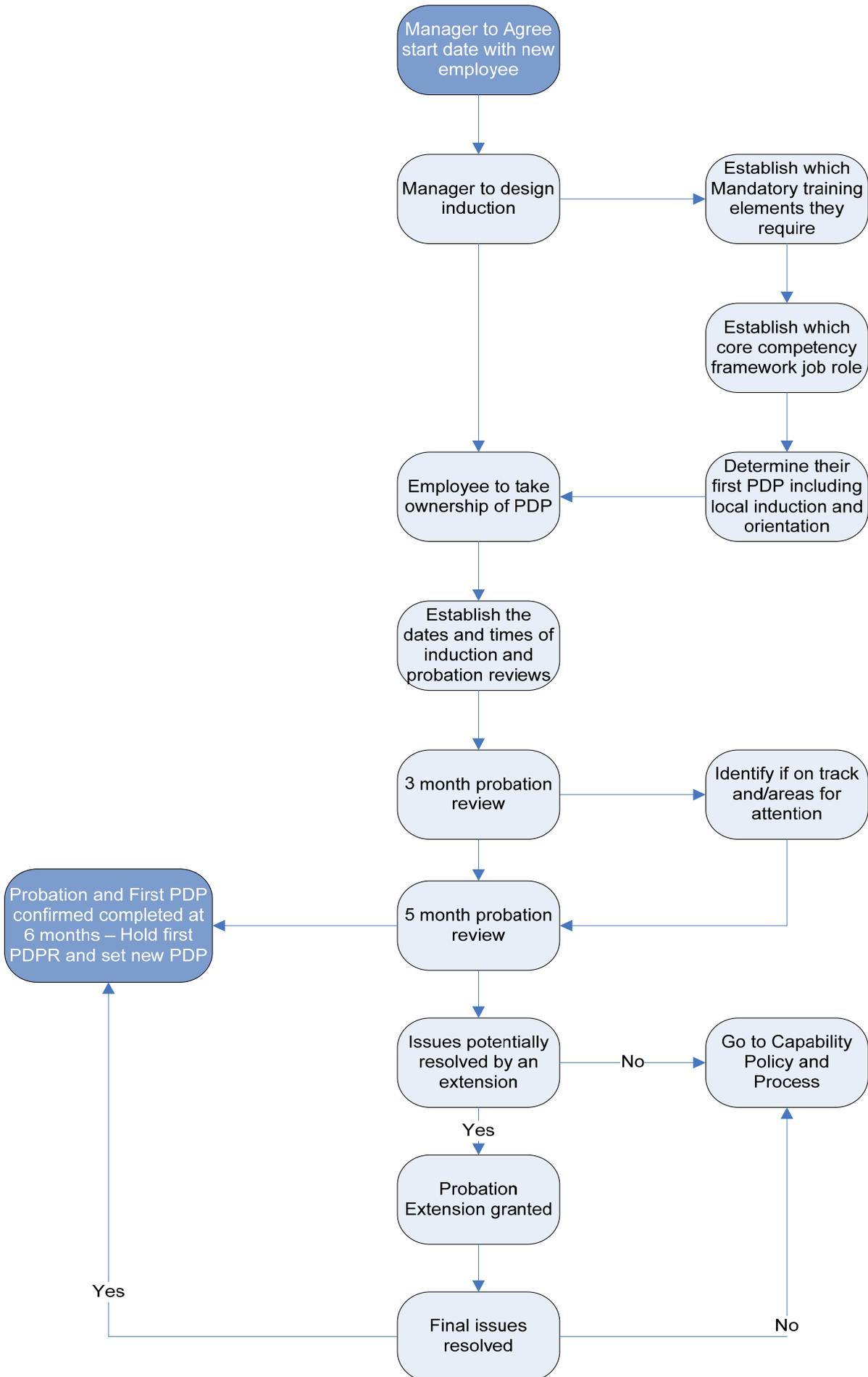
You and the manager who made the decision to dismiss you can present information to the appeal panel about your probation and the process followed so far. The panel will make a final and binding decision, normally on the same day if this is possible but on occasion may be provided later, without unreasonable delay. You will receive confirmation in writing of the appeal outcome within 7 calendar days of the appeal hearing.

4. Flowchart

Recruitment



Induction



5. Policy Approval and Review

Policy version	UCD/People/Recruitment/012v4.0
Title	Recruitment & Induction Policy
Approved by SPC	January 2018
Equality Impact Assessment completed	7 th November 2018
Counter Fraud Check	1 st November 2018
This document replaces	UCD/Workforce/Recruitment/012v3.4
Effective Release Date	November 2018
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