

Recruitment and Selection Policy and Procedure

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Version	Date Ratified	Brief Summary of Changes	Owner
1	November 2018	Amended to reflect updated ISO 9001 2015 controlled document register	AC
16/1	July 2020	Amended (p9) to reference Covid-19 risk assessment	AC
2	04 Sept 2020	Revised process for recruitment of salaried staff (appendix 2)	AC

Purpose of this Document

This document outlines the policy of Agincare in relation to Recruitment and Selection of all grades of staff ensuring safe selection and assurances that our staff are safely vetted to work with vulnerable people. The policy is held in accordance with the requirements of the Regulations of the Health and Social Care Act (Regulated Activity) Regulation 2014. The procedures for recruitment are detailed in appendices 1, 2 and 4.

CQC have added a Fit and Proper Person requirement to their regulations for the appointment of directors; this document contains guidance at Appendix 3

Policy Statement

This policy seeks to ensure that the best candidate is chosen for each job on competency against the essential criteria for the vacancy regardless of sex, race, disability or other personal characteristics. Existing employees will be invited to apply for transfer and promotion opportunities wherever possible.

Agincare are committed to tackling unfair and unlawful discrimination and actively promoting and celebrating equality and diversity.

Principles

- Our staff pool should reflect the diverse needs of the people who use our services and the communities we serve.
- Opportunities are made known to as wide a pool of applicants as possible, both internally and externally of the organisation.
- Individuals are screened against the job requirements as laid out in the job descriptions and person specifications.
- Any qualifications or requirements applied to a job that have or may have the effect of inhibiting applicants from certain groups of the population should only be retained if they can be justified in terms of the job to be done.
- Job advertisements will be based on the job description and person specifications and/or competency profile. Internal vacancies will be emailed to the whole company with the expectation that details will be available in all locations for staff with no internal email access.. For external positions, a variety of advertising mediums will be used. Positions will be simultaneously advertised internally and externally. These vacancies will also be on the ATS system.
- Equality information on individuals with protected characteristics will be collected in order to monitor the numbers of applications from different groups. This information will not be used in the selection process or for any other use other than this purpose.
- Selection tests should be specifically related to job requirements and should measure the person's actual or inherent ability to do or train for work.
- Values based selection interview techniques will be used incorporating guidelines from the Skills for Care Recruitment Toolkit.
- Selection tests should be reviewed regularly to ensure they remain relevant and free from bias, either in content or in scoring mechanism.
- All recruiting managers have an understanding of the companies agreed ways of working and non-discriminatory practices.
- To avoid possible personal conflict or conflict of interest, Agincare does not allow the recruitment of close relatives in circumstances where one family member would be responsible for recruiting, managing, supervising, auditing or authorising work, unless prior authorisation has been obtained from the Company Director. When recruiting any family or friend, the recruitment officer must inform their line manager to arrange for another person to undertake and complete the recruitment process

- Written records of interviews, reasons for decisions made at each stage of the process and reasons for appointment or non-appointment should be kept by the individual Registered Manager for six months, unless a longer period can be justified and is in compliance with the Data Protection Act 1998. Records should then be disposed of confidentially.
- Interviews will assess candidates against job-related criteria only.
- All information held about a candidate must be used only for the purpose for which the information has been collected.
- All candidates will be asked at the first interview stage to provide documentary evidence of their right to live and work in the UK, to ensure compliance with the Immigration, Asylum and Nationality Act 2006. A photocopy of the accepted documentation will be taken. The HR department can provide a full listing of what documentation is acceptable.
- Reasonable adjustments should be made to reduce any disadvantage faced by disabled people in making an application in response to an advertisement.
- The recruitment and selection process for disabled candidates should take into account such adjustments to working arrangements or physical features of the work place/station/premises as are reasonable to accommodate their needs and be such that they are not placed at a substantial disadvantage compared with non-disabled candidates.
- Decisions to interview, shortlist or offer employment will take no account of an applicant's trade union membership or non-membership.
- All offers are subject to two satisfactory references, verification of training or qualifications declared and completion of relevant mandatory training, a check on qualifications such a PIN number for qualified nurses, eligibility to work in the UK where applicable and a clear enhanced DBS disclosure where applicable. The recruiting manager will verify all references, which will be requested once applicants have indicated acceptance (subject to the conditions highlighted above). References will ideally come from current and/or previous employers, if applicable. If the references are not satisfactory, the offer may be revoked.
- The HR or recruiting manager will send a copy of the written statement of terms and conditions of employment and all related new starter forms that need to be completed. All new starters will receive a timetable for their successful induction into the organisation.

Criminal Record Information

It is recognised that many of the client groups with whom Agincare works are vulnerable. Since the primary concern is the welfare of clients for whom a service is provided, it would not be appropriate for Agincare to accept potential employees or volunteers with certain convictions.

Criminal records should only be taken into account when conviction is relevant to the nature of the work an employee will carry out. The tasks the employee will be required to perform and the circumstances in which the work is to be carried out should be taken into consideration in determining whether a Disclosure and Barring (DBS) disclosure is required for a post.

This applies to all categories of staff (permanent/temporary etc) and volunteers.

Recruitment of Ex-offenders and DBS Disclosures

Agincare complies fully with the DBS Code of Practice and undertakes to treat all applicants for positions fairly. Agincare undertakes not to discriminate unfairly against any person subject to a Disclosure on the basis of conviction or other information revealed.

Where a Disclosure is to form part of the recruitment process, Agincare encourages all applicants called for interview to provide details of their criminal record prior to attending interview. Agincare requests that this information is provided upon application and Agincare guarantees that this information will only be seen by those who need to see it in relation to the recruitment process.

A thorough risk assessment will be carried out should an applicant hold any caution or conviction that is disclosed on application and/or upon receipt of DBS disclosure. Also, where appropriate and permissible, there should also be a risk assessment completed when a new Care Worker starts work with an DBS 1st when full disclosure has not been received.

Human Resources and the recruiting manager will ensure that those in Agincare who are involved in assessing the relevance of a criminal conviction to a post have been suitably trained to identify and assess the relevance and circumstances of offences. Human Resources will also ensure that they have received appropriate guidance and training in the relevant legislation relating to the employment of ex-offenders, e.g. the Rehabilitation of Offenders Act 1974.

Young Workers

CQC guidance for employers and inspectors clarifies that adult social care workers, including those aged 16 and 17, are allowed to undertake all work tasks suitable for their level of employment.

The guidance makes it clear that workers under the age of 18 can be employed provided:

- They have completed or are undertaking an approved training programme in health and social care
- The registered manager or a delegated person assesses the competence and confidence of the young worker to carry out all the tasks required of them, including where necessary intimate personal care
- That appropriate support is offered to the young worker
- The consent of the person being supported and/or their advocate has been obtained

- Inexperienced practitioners are not left in charge of a care setting or left to work on their own.

Agincare will assess the suitability of a young worker through the same process of recruitment as that of other workers; it will however ensure that the young person is enrolled on a suitable training programme which can include a health and social care award, certificate or diploma and that a suitable risk assessment is carried out in order to provide the right level of protection and support. Where a young worker is below school leaving age, the results of any risk assessments must be shared with their parent or guardian.

Training

All Agincare policies and procedures are referenced within the induction programme and in handbooks provided to staff. Staff will be informed of how to access all policies, procedures and related documentation and of how to seek further advice regarding their implementation. Ongoing supervision and training is provided to all staff as part of a core training and development programme. The Office Manager ensures training courses are attended by appropriate staff within agreed timescales. Existing staff should be provided with regular training updates to include latest good practice.

REVIEW OF THIS POLICY

Review of this document is recorded on the controlled index and reviewed annually as part of the management review systems.

Name: Policy Review Group

Issue no: 16

Date: July 2020

Appendix 1: Recruiting Care Workers Procedure

Stage	Activity			Supporting Documentation
	AHH	AUK	LICS	
1	<ul style="list-style-type: none"> Portal adverts are to be regularly checked and updated. These are to be reviewed during routine recruitment development calls for AUK and as required for AHH and other parts of group. 			<p>Place an Advert Guidance</p> <p>How to Raise a Purchase Order</p>
2	<ul style="list-style-type: none"> Shortlisted applicants to be contacted by the Registered Manager or nominated other and the telephone screening form completed. (‘Walk-in’ candidates should be welcomed professionally and asked if they would like to leave a CV, or be asked if they would like to fill in an application form or allow them to take away or, where ever possible, they should be interviewed. They should be subject to the same criteria as telephone screened candidates). It is always preferable to interview any walk-in candidates, where possible. All candidates should be logged on to the Luceo (ATS) for future progression and review. 			<p>Applicant Telephone Screening Form</p> <p>LICS Applicant Telephone Screening Form</p> <p>Luceo (ATS) Raise the candidate manually and assign then to a suitable vacancy</p>
3	<ul style="list-style-type: none"> Invite successful candidates to interview. Send out Invite to Interview Letter, confirming date / time / place and what documents should be brought to the interview, this can also be emailed through outlook or preferably the ATS . Also to ensure that the application pack containing all the supporting documents, is sent out with this letter 			<p>Invite to Interview Letter</p> <p>Application Form</p>

	<p>for applicants that have not already submitted a completed application form. Agincare accepts CV's but we insist on an application form completed and signed.</p> <ul style="list-style-type: none"> • Please ask the applicant to bring with them a copy of their current DBS, if they have one, and check if it is less than 3 months old. Applicants who are members of the update service should bring their DBS with them. Get their reference number and check on line. • Important note – to speed up this process the documents listed can and should be emailed to the candidate where ever possible. • At all stages of the recruitment process, within Luceo (ATS), we are able to email the candidate at each stage of the process. This includes the attachment of documentation. • Send out Regret following selection process letter to unsuccessful candidates 	<p>DBS Identification Requirements Leaflet</p> <p>Training Assessment Centre Leaflet Job Description (with attached Personnel Specification)</p> <p>How email candidates through Luceo (ATS)</p> <p>Located on 'How To' on SP</p> <p>Regret following selection process</p>
4	<ul style="list-style-type: none"> • Applicant attendance must be confirmed within 48 hours prior to the booked interview date/time. Use the interview questions to complete the interview. 	<p>Select Job Description and Personnel Specification and interview questions from Sharepoint. If not available contact HR</p>
5	<ul style="list-style-type: none"> • If the applicant has a current DBS certificate and is a member of the Update Service you need to seek their permission to obtain a status check. • You must print a copy of this status check and retain on the staff file. • You will need to ensure that the current DBS is of an enhanced nature and is for the Child and Adult Workforce. 	<p>https://secure.crbonline.gov.uk/crsc/check?execution=e1s1</p>

6	<ul style="list-style-type: none"> • Reference request forms to be sent out. For employment references the referee must be their employer from their previous job. If a previous role was working within the care sector but this was not the most recent job then this reference should also be requested. A minimum of 2 references must be held on file. • The Registered Manager is responsible for chasing and verifying references or nominated person. <p>Ensure:</p> <ul style="list-style-type: none"> • An Enhanced DBS disclosure has been sent off. (If the applicant is not a member of the disclosure Update Service on line – Please remind candidate they must bring in their DBS when received for copying), • 2 written references have been requested simultaneously • if the applicant has previously worked in the care sector the references must detail their reasons for leaving. • booking of a practical assessment date • Requests can be emailed, again to speed up the process; where referenced are returned by email, print the email with company and signature as verification of it coming from the correct source 			Reference Request Form
	<p>AHH</p> <ul style="list-style-type: none"> • Registered Manager to arrange care home induction, to also review any current in date training certificates and book on 3 day selection assessment Course as applicable. An Offer of Appointment form should be completed and an Offer Letter advising of Induction dates should be sent to employee. • Care Home to confirm attendance at SAT the day 	<p>AUK</p> <ul style="list-style-type: none"> • Registered Manager or nominated other to send out the invitation to the 3 day Selection Assessment Training Course. This is free training and it is possible, in AUK, that the costs of transport could be remunerated, where agreed by senior management. 	<p>LICS</p> <ul style="list-style-type: none"> • Registered Manager or nominated other to send out the invitation to the 3 day Selection Assessment Training Course. This is free training and it is possible, in AUK, that the costs of transport could be remunerated, where agreed by senior management. 	<p>Invite to Selection Assessment Training Letter</p> <p>AHH AUK conditional Offer letter, with Equal Opportunities form to be attached and sent to HR</p> <p>LICS invite to 3 day assessment letter</p> <p>Staff Handbook</p>

	before the induction commences.			Relevant Code of Conduct issued by manager at time of appointment and confirmed on Recruitment checklist
7	Manager to carry out any risk assessments where required for any concerns highlighted on returned health declaration, for young workers DBS risk assessment or the Covid 19 Risk Assessment. the findings of the risk assessment to be discussed with the worker and other relevant personnel and actions required to mitigate risk to be put in place.			
8	ASSESSING COMPETENCY DURING PROBATIONARY PERIOD <ul style="list-style-type: none"> • Registered Manager to review Trainers Report and set targets for any additional training if required during the 12 week period after the three day assessment training • Care Certificate competency checks to be arranged and carried out with additional competencies checked for: <ul style="list-style-type: none"> - Medication competency for staff who administer medication - Manual handling competency 			Competency form Medication competency assessment Manual Handling Competency

9	<p>AHH Shadowing</p> <ul style="list-style-type: none"> On receipt of 2 appropriate references and DBS First Check which is clear, staff may be able to undertake shadowing within a Care Home. Please see DBS for correct risk assessment forms and obtain approval from Line Manager. An employer will no longer be sent a copy of the DBS form. This is now only sent to the applicant. It is essential that you have sight of this form and you complete the DBS Checking Form. This should be placed on the applicant's file rather than the memo. Shadowing within AHH: All staff must undertake a period of shadowing and/or double up within a Care Home. Following a full induction into the Care Home which must be completed on the AHH Home Induction form staff must then undertake a period of shadowing (or in the case of an experienced member of staff) or undertake double up shifts. Use AHH competency form. It is up to the 	<p>AUK Unpaid Shadowing</p> <ul style="list-style-type: none"> On receipt of completed references, clear enhanced DBS disclosure (or existing disclosure if under 3 months old and confirmation received from Regional Manager/ Commercial Manager that this can be used), and certification evidencing that the Assessment Course was satisfactorily completed, the new care worker must be sent a letter inviting them to accompany a Senior care worker (SCW) for shadowing (see below). The SCW is to be reminded of their role in completing the competency forms during the period of shadowing The length of time spent shadowing a senior member of staff is dependent on the manager's assessment of the person's skills, capabilities and competences demonstrated through verified previous experience (references, certificates, qualifications etc...) and by the SAT trainer As a general guide for shadowing time: 	<p>LICS</p> <ul style="list-style-type: none"> Shadowing not applicable 	<p>Invitation to Work Shadowing Letter</p> <p>Competency Form</p> <p>DBS Checking form</p> <p>AHH Home Induction Form</p> <p>AHH Shadowing Checklist</p> <p>AHH Double Up Check list</p>
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	<p>Registered Manager to deem the new employee competent to work unsupervised.</p> <ul style="list-style-type: none"> AHH New Starter form should be completed and signed by Line Manager and new employee, a copy should be sent to payroll and to AHH HR to issue a contract of employment is issued 	<ul style="list-style-type: none"> A care worker with no previous experience of domiciliary care = ideally at least 16 hours shadowing but until considered competent through assessment to support the allocated workload. A care worker with up to one year's previous experience = ideally at least 10 hours shadowing but until considered competent through assessment to support the allocated workload. A care worker with over one year's previous experience ideally at least 5 hours shadowing but until considered competent through assessment to support the allocated workload. On completion of the allotted period of shadowing the SCW will confirm suitability/unsuitability/ or additional support and training required for the candidate to the Registered Manager by submitting the completed Competency Form. 		AHH New Starter Form
10	<p>AHH</p> <ul style="list-style-type: none"> Contracts for all hourly paid staff to be issued by the home. 	<p>AUK and LICS</p> <ul style="list-style-type: none"> Registered Manager or nominated other to send an Offer Letter, Health Declaration Form, and 2 copies of the completed Contract of Employment from 		LICS Care worker contract AUK standard care worker contract

	<ul style="list-style-type: none"> All salaried staff contracts to be issued by HR Any other issues discuss with HR. One copy of the signed Contract of Employment is to be retained by the care worker and the other one to be returned by the candidate and placed on their file. 	<p>Sharepoint to successful candidate (make changes on highlight sections and save copy on personnel file).</p> <ul style="list-style-type: none"> Registered Manager or nominated other to complete New Starter Form, forwarding completed copies to Payroll /HR /IT and Julia Harrison as applicable. Originals should be filed in the care worker’s personnel file. One copy of the signed Contract of Employment is to be retained by the care worker and the other one to be returned by the candidate and placed on their file. 	<p>Offer Letter LICS offer letter</p> <p>AUK Contract of Employment - Care Worker</p> <p>Health Declaration Form</p> <p>New Starter Form</p>
11	<p>Staff Recruitment & Personnel Checklist should be used to ensure that all necessary documents have been obtained and in AUK/LICS the relevant information from these added into the Employment Checklist part of CM3.</p> <p><i>New Employees must not start work until copies of all documents are returned, verified as required, dated and signed.</i></p>		<p>Care Worker File Front Cover</p> <p>Care Worker Recruitment and Personnel File Checklist</p>
12	<p>AHH and AUK Registered Manager should ensure that when the new care worker commences work, that the actions detailed on the Local/Home Induction Checklist have been completed and initialled by the Care Worker</p>	<p>LICS</p> <ul style="list-style-type: none"> telephone and agree and send out Placement Standard Email as necessary, 	<p>Local Induction Checklist LICs Placement Standard Email</p>
13	<p>Follow the Probationary Policy to ensure performance and support e.g. competency checks must be carried out by a Senior Member of Staff throughout probation until all aspects of the competency form</p>		<p>Competency form</p>

	relevant to the care workers role are satisfactorily completed. The completed Competency Form should be sent to the Registered Manager for review and sign off.	
14	<p>All businesses</p> <ul style="list-style-type: none"> • Also during probation ensure a face to face supervision (probationary review) is held with the worker by Management. • Regular meetings to be held (weeks 1, 6 and 12 from commencement of candidates employment) Any issues with regard to the probationary review meeting please inform your Line Manager and HR immediately. • If any issues of performance note on review form and if dismissing discuss plan with Director/HR 	<p>Invite to probation review</p> <p>Probationary review form</p> <p>Probationary Review Form</p> <p>Learning and Development Plan</p> <p>Successful Outcome Probation Review Letter</p> <p>Unsuccessful Outcome Probation Review Letter</p>

Appendix 2

Recruitment Process - All Salaried Staff (roles paid monthly, generally office-based employees in Head Office, Registered Branches, Regional Offices, Care Homes)

Recruitment Process Step	Who owns this part of process?	Description	Essentials to know
Planning			
'Authority to Recruit (ATR)' form raised	Hiring Manager completes form and sends to recruitment.	Recruitment requisition form (ATR) raised. (in future this will be raised on line within Applicant tracking System - ATS)	Hiring Manager considers if role required. Discusses role with HR & Recruitment if required. Completes form (in future the Hiring Manager will need to login in to the ATS to raise the ATR recruitment requisition).
Job Description updated & market comparison if required	Hiring Manager	Job description reviewed, amended, updated as appropriate. Market comparison of role on salary / responsibilities.	Hiring Manager consults HR & Recruitment as required and finalises JD and Person Specification. Market comparison undertaken by Recruitment if needed.
ATR approved or declined	Hiring Manager	Requisition approved via automated process within ATS	Approvers (Hiring Manager plus their Line Manager) approve or decline ATR
Approved or declined ATR arrives in Recruitment	Recruitment	Automated on line process within ATS	Approved ATR via automated workflow. Declined ATR sent back to Hiring Manager via automated workflow.
Recruitment (Assignment) Briefing	Recruitment conducts with Hiring Manager	All details of role and all aspects of recruitment process / timescales agreed with Hiring Manager	RBP / HOR meets with Hiring Manager
Recruitment Process Step	Who owns this part of process?	Description	Essentials to know
Advertising & Attraction			

Internal advert written and posted on line	Recruitment	Role internally advertised to all Agincare Employees via Intranet & Social Referral. Advert based on 'Recruitment Briefing', Job Description	Every Agincare career opportunity advertised internally. Position will be only internally advertised (not external) when known that there are suitable internal candidates.
External Advert written and posted on line	Recruitment	External advert based on 'Recruitment briefing' & Job Description.	External advert can run parallel to internal advert if required. Posted on Agincare careers site, job aggregators, job boards, plus additional agreed suitable channels.
Shortlisting			
On Line Screening	Recruitment	All applicants screened on line using CV and screening question answers. Unsuccessful candidates receive automated 'regret' e-mail from ATS.	Initial applications sifted and best matching candidates identified to be invited to first interview. Hiring Manager may also assist with screening. Recruitment quality check – if candidate quality is not sufficient need to discuss with hiring manager and take additional attraction measures.
First Interview	Recruitment	Ideally conducted via video interview.	Standard questions covering experience and achievements, reasons for leaving, motivation, knowledge of company & social care sector.
Candidate Feedback	Recruitment	Candidates who have been video/telephone interviewed must receive direct (via phone) feedback reason(s) they are not successful.	Candidate feedback essential for purposes of Agincare employer branding and reputation.
Shortlisting	Recruitment	Shortlisted candidates compiled for final interview and selection stages.	Recruitment quality check – if candidate quality is not sufficient need to discuss with hiring manager and take additional attraction measures.
Recruitment Process Step	Who owns this part of the process?	Description	Essentials to know

Interviewing & Selection			
Selection – Stage One	Recruitment	<p>The candidate should have a maximum of two visits arranged as closely together as possible. Stage 1 & 2 of selection can be combined in one visit if practical. Interviewing and selection always include a Values Based Interview. Additional interview & selection tasks as agreed at the Recruitment Briefing could include as appropriate: Presentation / Case Study / Practical task / Personality questionnaire / Ability tests.</p> <p>For volume hiring a values-based Assessment Centre will be used which will also include ca Group Exercise.</p>	<p>All interviews and selection tasks & exercises based on Agincare values and job description.</p> <p>Applying principle of a maximum of 2 visits only for the candidate.</p>
Selection – Stage two			
Candidate Feedback	Recruitment	<p>Unsuccessful candidates who have been interviewed must receive honest constructive feedback (phone or face to face) as to reasons they are unsuccessful.</p>	<p>Candidate feedback essential for purposes of Agincare employer branding and reputation.</p>
Onboarding & Induction			
Verbal offer of employment	Recruitment	<p>Recruitment make verbal offer of employment to preferred candidate</p>	<p>Offer of employment to made by recruitment or hiring manager after completion of all selection events. Offer not to be made at interview.</p>
Issue Offer of Appointment Form	Recruitment	<p>Recruitment completes and sends to HR for employee onboarding process</p>	<p>Offer of Appointment Form includes agreed hours, salary, location, title, plus the new starters IT requirements as stipulated by the Hiring Manager.</p>

Recruitment Process Step	Who owns this part of the process?	Description	Essentials to Know
Issue Offer Letter (subject to documentation/references/DBS)	HR	HR issues offer letter following receipt of Offer of Appointment Form	HR issue to new employee
Onboarding & Induction			
Contract of Employment issued to New Employee	HR		
All required Documentation sent to Human Resources	Recruitment	Essential Documents are: Complete Application Form; Complete interview & selection notes Full employment history (all gaps explained); Reasons for leaving roles if involving vulnerable adults/children Reference details; Proof of identity all marked as 'originals seen' & dated Evidence of right to work in the UK Copy of transferrable DBS check Details of any agency rebate	Recruitment send all documentations to HR Recent photograph; Proof of identity - passport/birth certificate/visa as applicable (marriage certificate or deed poll document if current name differs from birth certificate); Proof of address (recent utility bill); Driving licence / insurance for business use (If applicable);
Candidate Engagement Post Offer	HR	HR to obtain and save on paperless staff file	
Contract of Employment issued to New Employee	HR		
Reference 1 verified (from most recent employer)	HR		
Reference 2 verified	HR		
Evidence of Qualifications (declared on application form)	HR		
Health Declaration	HR		
Covid 19 Risk Assessment	HR		

Recruitment Process Step	Who owns this part of the process?	Description	Essentials to Know
Risk Assessment (declared health issues/young worker) if required	HR	HR send to new employee's line manager who then returns to HR	
IT log in set up	HR / IT	HR arrange via SES	
IT Signature	HR / IT	HR arrange via JM	
Day One of Employment			
New Starter Form	Hiring / Line Manager	Hiring / Line Manager sends to HR. NS Form completed on Intranet	
National Insurance Number/P45	Hiring / Line Manager		
Copy of signed Contract	Hiring / Line Manager	If not already processed to HR for filing	
Confirmation of receipt of Employee Handbook and Code of Conduct and privacy notice	Hiring / Line Manager		
Evidence of on-site induction	Hiring / Line Manager	Hiring / Line Manager sends to HR for filing	
Probation dates provided to Line Manager	HR	As diary invites by HR	
Induction (12 weeks)			
SAT Induction booked	Line Manager	Line Manager must book with Training Now	
Head Office Induction Booked (if role requires)	HR	HR to advise Line Manager	
Mid-probation review form – 1 or 3 months	Line Manager	Line Manager sends to HR	
Final probation review with outcome letter – 3 or 6 months	Line Manager		

Appendix 3

Fit and Proper Person Requirement

CQC have produced guidance for providers on the appointment of executive and non-executive directors following the failures at Winterbourne View Hospital and Mid Staffordshire NHS Foundation Trust stating that the Fit and Proper Persons requirement plays a major role in ensuring the accountability of directors and providers to hold the organisation to account. From 1st April 2015 all providers must meet Regulation 5: Fit and Proper Persons: Directors; this regulation is central to the registration process. The regulation applies to provider's directors or equivalents who are responsible and accountable for delivering care and will apply equally to interim positions as it does to permanent posts.

CQC assess the fitness of service providers by way of an interview with their 'nominated individual' during which they determine whether the provider has taken appropriate steps to ensure they are of good character, are physically and mentally fit, have the necessary qualifications, skills and experience for the role and can supply certain information including a DBS check and a full employment history. In addition to these usual requirements the regulation now extends to individuals who are prevented from holding office and significantly excluding people who:

"have been responsible for, been privy to, contributed to or facilitated any serious misconduct or mismanagement (whether unlawful or not) in the course of carrying on a regulated activity or providing a service elsewhere which, if provided in England would be a regulated activity"

To meet the requirements of regulation 5; Agincare will:

- Provide evidence that appropriate systems and processes are in place to ensure all new and existing directors are, and continue to be fit and that no appointments meet the 'unfit criteria' (see appendix 3a below)
- This means that directors should be of good character, have the required skills, experience and knowledge and that their health enables them to fulfil the management function. None of the criteria of unfitness should apply which include bankruptcy, sequestration and insolvency, appearing on barred lists and being prohibited from holding directorships under other laws. Directors should not have been involved or complicit in any serious misconduct, mismanagement or failure of care in carrying on a regulated activity.
- Make every reasonable effort to assure itself about an individual by all means available
- Make specified information about directors available to CQC
- Be aware of the guidelines available and to have implemented procedures in line with best practice
- Where a director no longer meets the fit and proper person's requirement and is registered with CQC, inform CQC and take action to ensure the position is filled by a person who does meet the requirements

Directors may personally be accused and found guilty by a court of serious misconduct in respect of a range of prescribed behaviours set out in legislation. Regulators may remove an individual from the register for breaches of conduct.

CQC can take enforcement action for breaches of the fit and proper person requirement; breaches of other regulations may give CQC cause to question whether they have resulted from a breach of this regulation.

For the registration of any new Agincare service the application will request information about directors and require the chair of a provider to declare that appropriate checks have been undertaken in reaching a judgement that all directors are fit and proper persons; during the registration process CQC will test the providers understanding of the requirements

Inspection

Where there is a serious failure of the quality and safety of care of a provider CQC will carry out a focussed inspection including assessment of the fit and proper person aspects concerning recruitment and management of directors.

Appendix 3a

Schedule 4 Good Character and Unfit Person Test. Regulation 5

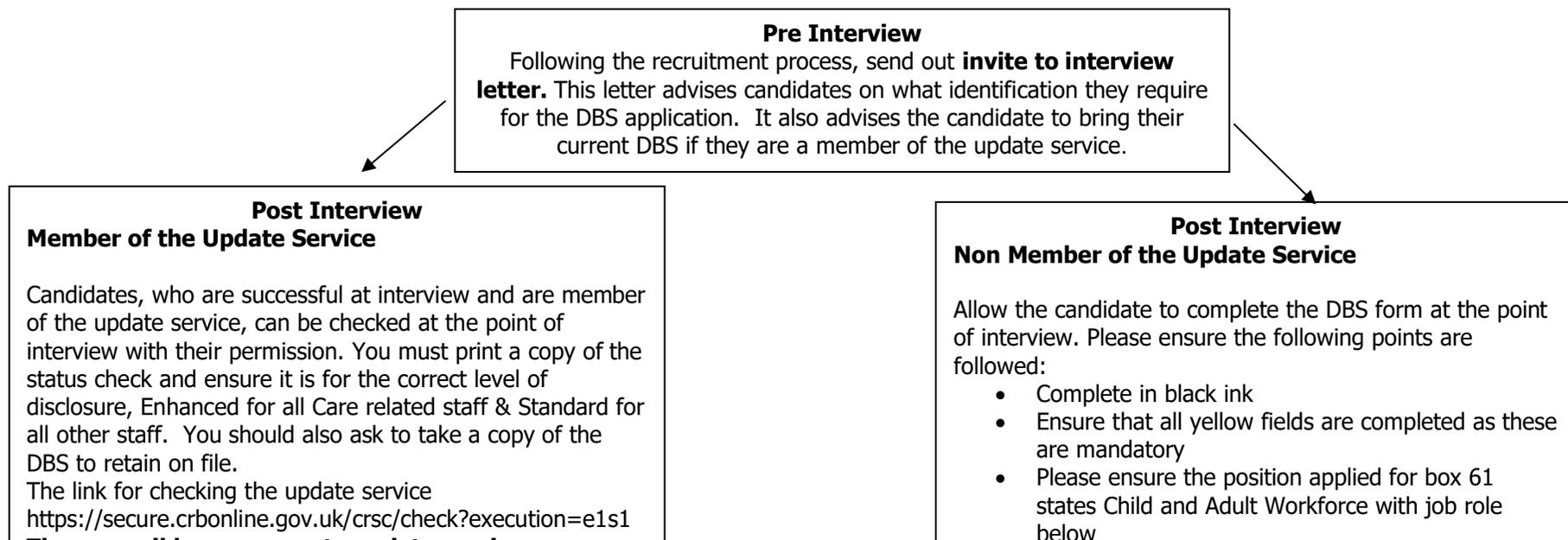
PART 1 Unfit person test

- a. The person is an undischarged bankrupt or a person whose estate has had sequestration awarded in respect of it and who has not been discharged.
- b. The person is the subject of a bankruptcy restrictions order or an interim bankruptcy restrictions order or an order to like effect made in Scotland or Northern Ireland.
- c. The person is a person to whom a moratorium period under a debt relief order applies under Part VIIA (debt relief orders) of the Insolvency Act 1986(1).
- d. The person has made a composition or arrangement with, or granted a trust deed for, creditors and not been discharged in respect of it.

- e. The person is included in the children’s barred list or the adults’ barred list maintained under section 2 of the Safeguarding Vulnerable Groups Act 2006, or in any corresponding list maintained under an equivalent enactment in force in Scotland or Northern Ireland.
 - f. The person is prohibited from holding the relevant office or position, or in the case of an individual from carrying on the regulated activity, by or under any enactment.
2. PART 2 Good character
- a. Whether the person has been convicted in the United Kingdom of any offence or been convicted elsewhere of any offence which, if committed in any part of the United Kingdom, would constitute an offence.
 - b. Whether the person has been erased, removed or struck-off a register of professionals maintained by a regulator of health care or social work professionals.

Appendix 4

Applying for Disclosing and Barring Certificate Procedure



This Certificate did not reveal any information and remains current as no further information has been identified since its issue. This means that the individual's Certificate contains no criminality or barring information and no new information is available. Please print and retain on file.
No further action required

This Certificate remains current as no further information has been identified since its issue. This means that the individual's Certificate did contain criminality or barring information and no new information is available.
Please apply for new DBS.

This Certificate is no longer current. Please apply for a new DBS check to get the most up to date information. This means that the individual's Certificate should not be relied upon as new information is now available and you should request a new DBS check.
Please apply for New DBS

Charging Details				
AHH – No upfront charge. Staff sign NSF and money is deducted on leaving as per NSF	AUK Staff pay up front for DBS certificate. Cash added to petty cash receipt given Cheques sent to Head Office.	Live In Care No upfront charge £22 deducted in first 2 wages	Home Cuisine No upfront charge staff sign NSF and £11 is taken over 4 month period	Agincare Group No charge made to staff

▼

Candidate to complete DBS form. Check DBS form is completed correctly by checking the completion guides which can be found on SharePoint. It is essential to remember the following:
All yellow areas are completed.
All areas on back of form are completed correctly to minimise returns.

Services with no counter signatory

Send DBS Form completed to Head Office who will log and process this for you.
In order for you to track the form it is essential that you keep a log of the Form Reference Number and the date of birth.

Services with counter signatory

Ensure that section Y on the DBS form is completed correctly. This needs to have your individual Counter signatory.
You then need to log the details on your individual tracker.

DBS form is to be sent to:
DBS PO Box 3961 Wootton
Bassett SN4 4HF

Allow 48 hours for the form to be processed. If your contract allows, you can make a request for a DBS first check. This can be done on <https://www.isaadultfirst.co.uk/> to check this you need the individual form number and date of birth. Complete DBS First Risk Assessment Form

DBS certificates are no longer sent to counter signatories they are only sent to the candidates.
A tracking service is available at:
<https://www.gov.uk/disclosure-barring-service-check/tracking-application-getting-certificate>