

## Policy and Procedure for the Recruitment and Selection of Members of Research Ethics Committees including Reappointment, Break in Service, Probationary Periods, Leavers and Transfers

<b>Author/s:</b>	<b>Head of the Research Ethics Service</b> updated by RES Project & Support Manager
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<b>Scope of Document:</b>	This guidance will apply within:

Country	Applicability	Comment
England	Yes / No	
Northern Ireland	Yes / No	
Scotland	Yes / No	Colleagues in Scotland should follow this policy and procedure and use associated documents as applicable.
Wales	Yes / No	Colleagues in Wales should follow this policy and procedure and use associated documents as applicable.

## 1. Background

NHS organisations recognise and actively promote the benefits of a diverse workforce and are committed to treating those individuals in non-paid membership roles with dignity and respect regardless of race, gender, disability, age, sexual orientation, religion or belief. The Health Research Authority (HRA) has Equal Opportunities Policies which require the fair and equal treatment of all. The HRA wishes to ensure that all individuals are recruited, trained and promoted on the basis of ability and the requirements of the role. This document describes the approach to recruiting and selecting members in a way that is free from bias and also describes how monitoring will be carried out. With discussion and the agreement of UKECA (United Kingdom Ethics Committee Authority) this policy has been revised to include the management of return of members following a period of planned leave of absence.

## 2. Policy

This document details the policy and procedure for the recruitment and selection of Research Ethics Committee (REC) members. It also sets out the policy and procedure for the reappointment of members, and the management of break in service requests, probationary periods, leavers and the transfer of members to a different REC.

The HRA is the Appointing Authority for REC members in England, the management of the recruitment and selection process is delegated to the Operations Directorate. The relevant Health Board is the Appointing Authority for REC members in Scotland and Wales.

This policy and procedure has been developed with consideration to the HRA's six core values: Inspiring Leadership, Integrity, Trusted, Transparent, Collaborative and Empowering. Further information on the values is available on the HRA Website.

Each REC should have a maximum of 15 members and should be correctly constituted in accordance with the requirements set out in GAfREC. (Note: the operational change from a maximum 18 members to 15 members was formalised in December 2014 and some flexibility to accommodate this reduction is allowed).

## 3. Purpose

The aim of this policy and procedure is to ensure that the recruitment and selection of members is fair and transparent and compliant with good practice.

## 4. Scope

This document covers the recruitment of all REC Members. It also incorporates the reappointment, break in service, probationary periods, leavers and transfers of REC members.

There is a separate policy for the appointment of Chairs and Vice-Chairs.

## 5. Reference Documents

- Governance Arrangements for Research Ethics Committees (GAfREC) 2011
- Policy and Procedure for the Recruitment, Selection and Appointment of REC Chairs and Vice-Chairs
- The Medicines for Human Use (Clinical Trials) Regulations (the Regulations)
- HRA Equality & Diversity Policy and Procedure

- HRA Complaints Policy and Procedure

## 6. Responsibilities

### 6.1 Head of Research Ethics Service (England)

- Approving costs of submitting national recruitment advertisements for REC members
- Reviewing requests for a break in service

### 6.2 Operations Coordinator

- Sending application packs to potential applicants.
- Receiving completed application forms from potential new members and seeking confirmation from the Board Secretary and Chief Executive Business Manager on the capacity of the member (expert/lay/lay+) when required.
- Offering applicants the opportunity to observe a REC meeting when acknowledging receipt of the application form and arranging this with a Regional Manager if requested.
- Updating the REC member spreadsheet with new applications and interview outcomes and making this information available to Regional Managers - this includes entering the capacity of the member when this information is known.
- Requesting references and following up references when not received. Sending out interview letters to applicants as requested by the Regional Manager /Deputy Regional Manager.
- Producing REC member and deputy member appointment letters and Terms & Conditions.
- Producing REC member reappointment letters and Terms & Conditions.
- Producing Break in Service letters.
- Recording Equality Monitoring information.
- Recording leavers information.
- Producing MI reports when required.

### 6.3 Board Secretary & Chief Executive Business Manager

- To review and agree the categorisation (expert, lay, lay+) of potential members using the submitted application form/Curriculum Vitae (CV) informing the Operations Coordinator of the decision and the reason for the decision.

### 6.4 Regional Managers/Deputy Regional Managers/ Scientific Officers

- Checking that RECs are correctly constituted as part of QC checks and arranging recruitment as necessary.
- Liaising with other Regional Managers, where appropriate, to identify their recruitment needs in order to inform the interview panel of their vacancy requirements.
- Advertising locally e.g. NHS Trusts, other establishments, hospital noticeboards, R&D departments.
- Checking the recruitment spreadsheet to process the applications for suitable candidates in a timely manner.
- Shortlisting of candidates (when applicable).
- Arranging interview panels and interview venues.

- Ensuring that interview packs are produced and sent to the interview panel.
- Participating in interview panels and ensuring that the interview is conducted in accordance with this policy and procedure and that the relevant documentation is completed.
- Informing successful and unsuccessful applicants of the interview outcome.
- Informing the Operations Coordinator of interview outcomes to allow the spreadsheet to be updated including advising the Operations Coordinator of instances when an applicant was appointable but there were no current suitable vacancies.
- Liaising with applicants to identify a suitable REC and communicating with REC Chairs regarding potential new members.
- Ensuring that two references are received and confirmed as acceptable prior to confirming the appointment.
- Requesting appointment letters and terms and conditions for appointed members and deputy members.
- Monitoring completion of the probationary period.
- Requesting reappointment letters and terms and conditions for members reappointed for a second term of office.
- Requesting approval for breaks in service.
- Completing the Regional Managers section of the Leavers Checklist when a member leaves the Research Ethics Service.

### **6.5 REC Chairs**

- Participating in interview panels.
- Identifying development needs for newly appointed REC members.
- Conducting a review with newly appointed REC members following the 6 month probationary period (with the REC Manager or Regional Manager).
- If necessary, participating in a review (6 months prior to the end of term) with members coming to the end of their first term of office with a view to their reappointment or not (in liaison with the REC Manager or Regional Manager).
- Reviewing requests from members for a break in service.

### **6.6 REC Managers**

- Checking the constitution and number of REC members particularly when a members' term of appointment will shortly end, when a member offers their resignation, or where change in member circumstances mean that lay or expert categorisation changes.
- Discussing reappointment in liaison with the Chair and Regional Manager (as appropriate) with a member 6 months before the end of a first term of office (subject to satisfactory attendance and the completion of training).
- Discussing (subject to satisfactory compliance with terms and conditions of membership) possible transfer to another REC when a member completes their second term of office, or (where this is applicable) possible extension to term of office.
- Alerting the Regional Manager to any issues affecting constitution of the REC.
- Informing Regional Managers of recruitment requirements.
- Providing the welcome information to newly appointed members.
- Welcoming newly appointed members to the REC and arranging induction and a suitable member to act as a 'buddy'.

- Ensuring signed Terms & Conditions of Membership are obtained and that the required membership documentation is uploaded to the membership documents folder in HARP.
- Completing the checklist for new RES Committee members and uploading to HARP.
- Highlighting to the Regional Manager where a request for a break in service has been received and when a member plans to return.
- Requesting and issuing reappointment letters and T&Cs.
- Creating a new contact on HARP and re-entering training records and history of appointment of members transferred from another REC.
- Reviewing officer appointment letters and considering the need to request and reissue appointment letters/T&Cs to accommodate extension to membership appointment (due to officer appointment taking place in second term of membership).
- Completing the REC Manager section of the Leavers Checklist for RES Committee Members when a member leaves and sending the 'reason for leaving' section to the Operations Coordinator and the Regional Manager.

## **7. Breakdown of activities covered by the procedure**

### **7.1 Management of applications received**

- 7.1.1 The application form for members is available on the HRA website. Applications are either submitted to the Research Ethics Service on an ad-hoc basis or in response to a specific advertising campaign. Application forms may be sent out following a request from a potential member.
- 7.1.2 On receipt of a completed application form, the Operations Coordinator updates the recruitment spreadsheet and requests references (where permission has been obtained to do so). The Operations Coordinator acknowledges receipt of the application by email and asks the applicant if they would like to observe a REC meeting. If the applicant would like to observe a meeting, the Operations Coordinator should liaise with the Regional Manager in the relevant geographical area to identify a suitable REC and meeting date.
- 7.1.3 The Equality & Diversity information is recorded anonymously on a spreadsheet by the Operations Coordinator. Copies of the Equality & Diversity monitoring forms are held confidentially. The Operations Co-ordinator codes the application forms and equal opportunity forms to ensure anonymity is maintained. The Operations Coordinator records the Equality & Diversity data on a spreadsheet for each year in line with the annual reporting period and provides this information to the Corporate Secretary as requested.

### **7.2 Reviewing the constitution of RECs**

It is the responsibility of REC Managers to monitor the constitution and number of members on their RECs and to inform the Regional Manager if their REC is incorrectly constituted or is likely to become incorrectly constituted following resignations, changes in job role, professional registrations, or the end of a term of office. The Regional Manager should check the membership applications spreadsheet for suitable candidates or arrange for the vacancies to be advertised.

### **7.3 Advertising**

- 7.3.1 Local advertising can be arranged by Regional Managers individually or in liaison with other Regional Managers where RECs from one geographical area are managed by more than one office.
- 7.3.2 Where England/UK wide campaigns are required, for example where large numbers of members or members with specific expertise are sought, this should be discussed with the Head

of RES (England) and agreed at an Operational Management Group or UK Research Ethics Development Group meeting.

- 7.3.3 Advertising media and costs should be sought and agreed by the Head of RES (England) or by a RES Operational Manager (for Scotland and Wales).
- 7.3.4 Advertisements if required should be agreed and media chosen, linked to the geographical spread of vacancies. Where there is a wide geographical spread of lay, lay+ member vacancies, a national advert in a broad sheet will be considered. For urgent expert member vacancies, targeted advertisements in relevant journals or websites may be appropriate. Additionally, NHS Trust internal advertisements may be used for expert members.

## **7.4 Identifying suitable applicants for interview**

- 7.4.1 All applications should initially be reviewed by the appropriate Regional Manager, and suitable applicants invited for interview. Where an application is received and it is felt that a shortlisting panel would be useful this will be convened and will be comprised of a Regional Manager and REC Chair (in this instance the shortlisting form will be completed).
- 7.4.2 Applicants who do not meet the criteria as set out in the person specification are written to by the Regional Manager and are informed that they have not been shortlisted (Appendix 1 document 5). Candidates who have not been shortlisted because there are no vacancies in their geographical region will be sent a 'holding letter' by the Regional Manager by email.
- 7.4.3 Shortlisted candidates are invited for an interview by the Operations Coordinator, and the Regional Manager is copied into the invitation letter. The invitation letter should specify what time the candidate should arrive to read the test application form and the time of the interview slot. A timeslot of 20 minutes should be allocated for candidates to read the test application form on the day of the interview. A copy of the interview invitation letter should be uploaded to the membership documents tab in HARP if the candidate is appointed.
- 7.4.4 At this stage, the Operations Coordinator should also follow up the references if they have not already been received.

## **7.5 Establishing an interview panel**

- 7.5.1 When a list of applicants to be invited to interview has been established, the Regional Manager should set up the interview panel/s based on the vacancy requirements. This can be undertaken either on a regional basis or on a committee specific basis.
- 7.5.2 The interview panel must comprise of at least three people, one of which must be a REC Chair/Vice-Chair, or National Research Ethics Advisors Panel (NREAP) member and an operational manager. At least one of the panel must have undertaken recruitment and selection training and equality and diversity training.
- 7.5.3 The Regional Managers must provide each panel member with an interview pack which consists of:
- The application form and CV (if provided) for each candidate
  - Competency based interview questions
  - Test application form
  - Individual scoring sheet
  - References (if received)
  - Person specification

## 7.6 Interviews

- 7.6.1 The interviews must be conducted in a standard format using a selection of the competency questions and the test application form. The test application form should be issued to the candidate on the date of the interview. Detailed interview notes should be taken and an individual scoring sheet must be completed for each candidate.
- 7.6.2 All candidates are assessed as to whether they are appointable or not appointable and an overall rating score given; this should be a minimum of 60%. For those that are appointable, where there are more appointable candidates than vacancies, appointment will in the first instance be on the basis of specific skills required by a committee, e.g. statistician, pharmacist expert or lay+ etc., and then on the highest score within that category, if there is more than one appointable candidate. Where a number of vacancies exist across the geographical area, that a successful candidate is willing to travel to, appointment to specific committees may be managed in a way which achieves the best diverse spread of members from a variety of backgrounds, ideally to reflect the local population. Where there are more appointable candidates than vacancies, the recruitment spreadsheet will be updated to confirm that the applicant is appointable but is awaiting a suitable vacancy.

## 7.7 Interview Outcomes

It is the responsibility of the Regional Manager to inform candidates whether they are appointable or not appointable within 5 working days of the interview date. The Regional Manager should also inform the Operations Coordinator of the interview outcomes in order that the recruitment spreadsheet can be updated to reflect the outcome.

### 7.7.1 Not Appointable

For those candidates that are not appointable, clear reasons will be recorded on the individual scoring sheet, in order that these can be communicated to the candidate if required. The Regional Manager should contact the applicant by telephone to inform them that they were not successful and the 'not successful at interview letter' should be issued to the applicant by email.

### 7.7.2 Appointable – Vacancy identified

When a suitable REC has been agreed between the Regional Manager and applicant and two acceptable references have been received, the Operations Coordinator will produce the appointment letter and Terms & Conditions which will be emailed to the REC Manager.

The REC Manager should send the appointment letter and Terms & Conditions to the new member along with the standard welcome email (appendix 1, document 18), details of membership of the REC and contact details of a 'buddy'. The following information should also be provided:

- Declaration of Interest form
- BACS form
- Expenses forms and link to the expenses policy
- Health and safety leaflet
- Induction information and Equality & Diversity training details
- Link to training website
- HARP Member Portal login
- Meeting Dates
- Information for members who may receive state benefits

The REC Manager should identify a suitable buddy for the REC member and should ensure that the member attends induction within the first 6 months and completes Equality & Diversity training within the first 12 months of their appointment. If the member does not need/refuses a buddy, a record of this should be retained in the members' record in HARP.

The REC Manager should complete the new REC member starter's checklist and upload to HARP.

The member must sign one copy of the Terms & Conditions and return it to the REC Manager and retain a signed copy for their own records. The REC Manager must upload a copy of the appointment letter and signed Terms & Conditions to HARP.

### 7.7.3 Appointable – On hold for suitable vacancy

If there is currently no suitable vacancy in one of the candidates preferred RECs, the candidates' information can be kept on file for future vacancies. The Regional Manager should inform the candidate of this when they telephone them after the interview.

If a suitable vacancy has not been identified within 12 months of the interview date, the Operations Coordinator should contact the applicant to see if they would still like to be contacted regarding vacancies which arise in the future.

## **8. Probationary Periods**

Following completion of the six month probationary period, the REC Chair and REC Manager (or Regional Manager if required) should review the progress of the REC Member taking into account attendance at meetings, training and conduct at meetings to establish continuation of membership. Continuation of the membership is assumed unless the review raises issues or the member no longer wishes to continue. Should the continuation of the membership cause concern a meeting should be held with the Regional Manager, REC Chair and the relevant member.

## **9. Appointment of a previous member**

Where a previous member applies to be appointed to a different REC after a break in service which is greater than one year, the member should complete a new application form and a reference should be sought from the Chair or Vice Chair of the REC on which the member last served. If neither is still in post another reference should be provided from an appropriate member of the REC. A refresher meeting should be held with the REC Manager to discuss any changes during the break. The Chair should be involved if any issues have been flagged in earlier membership that need to be noted and plans of action agreed if appropriate. Where the member wishes to re-join the same REC after having served a full ten year term of office a period of two years must have elapsed.

In instances where seeking a reference has not been possible the HRA, for RECs in England, or the relevant appointing authority, for RECs in the Devolved Administrations, should be contacted for assistance in order to identify the contact details of the relevant Chair/ Vice-Chair or a member of the Committee to support the provision of a reference.

## **10. Members retained for a second term of office**

Six months before the end of the first term of office the REC Manager (in consultation with the Chair or Regional Manager where required) should determine whether the member has met the Terms & Conditions of membership and wishes to serve for a second term of office. Where concerns are raised with regard to meeting the Terms & Conditions of membership, the issue will be dealt with in terms of the member management policy. If the issues are not satisfactorily resolved, a second term of membership would not be offered.

If the member is re-appointed, a re-appointment letter and Terms and Conditions should be requested from the Operations Coordinator, signed and uploaded to HARP.

## 11. Transfer of members to other RECs

Where a member wishes to transfer to another REC either during, or at the end of a current term of office, this process should be facilitated by REC Managers and Regional Managers, taking account of the constitution of both RECs. The attendance and training records of the member should be considered to ensure that they have met the conditions of their membership. The Chair of the REC to which the member currently belongs should be asked to provide an introduction and informal reference for the transferring member to the Chair of the REC to which they wish to transfer. A new contact in the new REC should be created on HARP and the members' training records and history of appointment should be re-entered by the REC Manager. An appointment letter and Terms and Conditions should be issued for the new REC membership, starting a new term of office which may be for up to 5 years. Where the member has not completed a recent application form, a new application form should be completed, or an up to date CV provided, to ensure current information is available to allow correct classification in respect of Lay/Lay+/Expert Membership to be applied. Member details need to be entered on HARP and member documentation up-loaded to the new REC.

## 12. Break in service

- 12.1 Where a member requests to have a break in service, this may be granted for a maximum of up to two years and the member's position on the REC retained. Granting of a break in service is in discussion with, and with the agreement of, the REC Chair. The HRA Board Secretary and the Head of RES must approve the break in service (submitted from the Regional Manager). Confirmation of agreement should be uploaded to HARP. The HRA Board Secretary and the Head of RES must check that the reason provided for the break in service request is acceptable for example, maternity leave or a sabbatical. Break in service requests should not be submitted retrospectively to cover poor attendance at REC meetings. The same member can request a break in service more than once during their term of appointment as long as an appropriate reason can be provided.
- 12.2 The member will agree with the REC Manager whether during the break of service they wish to receive any correspondence in relation to REC business and any up-dates from the HRA.
- 12.3 The member should be sent a letter granting the break in service and the dates agreed (Appendix 1 document 29). During this break the membership will be suspended and attendance requirements adjusted to take account of this period. The term of appointment should be extended to cover this period on the members return to the REC.
- 12.4 On returning from the break in service, and in advance of the REC meeting, the REC Manager should contact the member to confirm their intention to return on the agreed date and request a new membership letter and Terms and Conditions and provide these to the member. The new membership letter and Terms & Conditions of Membership should be signed and returned to the REC Manager in advance of the REC meeting. The membership extension period in HARP should be up-dated accordingly.
- 12.5 For any break in service greater than six months a refresher meeting with the REC Chair and REC Manager should be held to discuss any changes during the break, and to allow the member to be reminded of the Terms & Conditions of membership. For a break in service of more than one year a meeting with the REC Chair and the HRA Board Secretary & Business Manager should be held (this may be a telephone meeting). Where any issues arise with regard to the return, the Board Secretary & Chief Executive Business Manager should be contacted for advice.

### **13. End of final term of office or resignation**

Three months before the end of the final term of office the REC Manager will remind the member that the end of term of office is approaching and determine whether they wish to join another REC (section 11 of this procedure to be followed). Exceptionally a member's term of office may be extended for a period of up to one year to allow the recruitment and appointment of new members. Where the member has rare expertise essential for the work of the REC appointment may continue to be renewed until a suitable replacement is found. When the member leaves the REC a thankyou letter and small gift is sent.

### **14. Ensuring diversity of committee membership**

The HRA will monitor the Equal Opportunities data of appointed members retrospectively to inform future recruitment campaigns. Where certain groups are under-represented on committees, we may try to attract a wider diversity of membership in future recruitment campaigns by:

- Considering the wording and placement of adverts to encouraging the under-represented groups;
- Placing adverts on community notice boards which may get a wider readership;
- Taking reasonable action where required to provide the necessary adjustments to allow disabled candidates to participate in the work of the Committee.

The recruitment process will be managed across a geographical area and candidates will be asked to identify which committee they would be interested in joining, or geographically where they could take up REC membership. Candidates will be appointed on the basis of their assessment at interview, with, when there are more successful candidates than posts, the highest scoring candidates being appointed first. The allocation of members to committees will however need to ensure that the constitution requirement is maintained which may result in lower scoring members being appointed to ensure the correct expert/lay mix. However, where a number of equally scoring candidates are being appointed at the same time and vacancies are available for all, certain candidates may be asked to serve on a specific committee if it would support that committee having a greater diversity of membership. Any appointable members who cannot be offered a place immediately will be placed on a waiting list as described in 7.7.3

### **15. Feedback and complaints**

The HRA wishes to operate a fair and transparent recruitment process. If a candidate wishes to have feedback on the process, one of the panel members will discuss the panel's view with them, ideally face to face but as a minimum by telephone. Should a candidate be unhappy with the process then they should raise their concerns in writing to the Director of Operations who will review the recruitment process. Formal complaints about the recruitments process will be handled in line with the HRA Complaints policy and procedure.

## 16. Management of Documents and Records

Documents related to the REC member recruitment and selection process should be retained as set out in the following table:

Document	Location	Person responsible	Retention Period
Application pack for applicants who were not shortlisted.	Scanned and stored in a restricted access folder on the shared drive or the paper copies filed in a locked cabinet.	Operations Coordinator	1 year from date which the 'not shortlisted' letter was issued.
Interview pack for appointed candidates (references, interview notes and scoring sheets)	Scanned and stored in a restricted access folder on the shared drive or the paper copies filed in a locked cabinet.	Regional Manager	3 years following termination of membership
Interview pack for applicants who were not appointable (application form, references, interview notes and scoring sheets)	Scanned and stored in a restricted access folder on the shared drive or the paper copies filed in a locked cabinet.	Regional Manager	1 year after interview
Interview pack for applicants who were successful but there was no position available (application form, references, interview notes and scoring sheets).	Scanned and stored in a restricted access folder on the shared drive or the paper copies filed in a locked cabinet.	Regional Manager	1 years after interview date (3 years following termination of membership if they joined a REC).
Application Form/CV	HARP member documents folder	REC Manager	6 years following termination of membership
Appointment letter	HARP member documents folder	REC Manager	6 years following termination of membership
Signed terms and conditions	HARP member documents folder	REC Manager	6 years following termination of membership
Declaration of interest form	HARP member documents folder	REC Manager	3 years following termination of membership

## 17. Monitoring of activities covered by this procedure

This procedure will be reviewed after 12 months and changes made as required. This procedure will also be reviewed in light of data collected in the use of this procedure and related policy.

The processes outlined in this document are monitored as part of the HRA QC and accreditation process.

This Policy / Procedure will be subject to an internal and external audit as part of the HRA Quality Management System (QMS) and Department of Health audits, where applicable.

## 18. How lessons are learnt and incorporated into the process

Any lessons learned through the use of this procedure and related policy will be taken forward and incorporated into the activities named within the process, and the procedure will be reviewed and revised to reflect these changes.

## 19. Supporting Forms/ Associated documents

A list of associated documents for use with this procedure is detailed in Appendix 1 and will be subject to review with this procedure. All documents in Appendix 1 are available on the Staff Intranet and should be used as advised by this procedure

## 20. Dissemination and Publication of the document

This policy and procedure and the appendices available on the staff intranet: <https://intranet.hra.nhs.uk/rec-member-recruitment>

The policy and procedure, application pack, application form and person specification are also available on the HRA website: <http://www.hra.nhs.uk/resources/for-rec-members/rec-member-recruitment-policy/>

## 21. Screening Questions - HRA Equality Analysis and Privacy Impact Assessment

EQUALITY AND PRIVACY SCREENING QUESTIONS			
FOR EVERY HRA POLICY ( <i>defined by the Equality and Human Rights Commission (EHRC) as a function, strategy, procedure, practice, project, or decision</i> ) PLEASE ANSWER THE QUESTIONS BELOW TO DETERMINE WHETHER FURTHER ANALYSIS IS REQUIRED.		YES / NO	If yes, please copy and complete as required either the HRA Initial Equality Analysis and / or Initial Privacy Impact Assessment Template below. This one document can be found on the Intranet.
<b>Equality</b>	With due regard to our Equality Duty, could this policy have the potential to have a detrimental impact on anyone with a protected characteristic?	Yes	
<b>Privacy</b>	With due regard to the Data Protection Act, does this policy involve the use of Personal Information?	Yes	

### INITIAL EQUALITY ANALYSIS

An Equality Analysis is an examination of a proposed function, strategy, procedure, practice, project, or decision to see if it could adversely affect those with protected characteristics.

The form should be completed in conjunction with the **HRA Guidance for Equality Analysis**.

Aims and outcomes	Description / Details
Give a brief summary of the aims, purpose and outcomes of the policy / procedure in relation to equality and diversity.	<b>The Recruitment and Selection of Members Policy and Procedure aims to ensure that all members/potential members are recruited and selected in line with consistent principles to prevent discrimination and adverse impact.</b>

Questions for you to answer in the analysis process	YES	NO
1. Will or does the policy / procedure directly or indirectly affect our workforce (including volunteers), stakeholders or the public?	<b>yes</b>	
2. Could the policy / procedure involve or have an adverse impact upon the Public Sector Equality Duties to:		
• eliminate unlawful discrimination		<b>no</b>
• promote equality of opportunity		<b>no</b>
• foster good relations between people who share a protected characteristic and those who do not		<b>no</b>
3. If you have answered YES to any of the questions in 2. above, please explain the impact you have identified.  N/A		
4. Could the policy / procedure have an adverse impact on some of our workforce (including volunteers), stakeholders or the public because they have one or more of the protected equality characteristics:	<b>YES</b>	<b>NO</b>
<b>Race</b> (race, colour and nationality (including citizenship), ethnic or national origins)		<b>no</b>
<b>People with disabilities</b> (including mental, physical, sensory, long term health, learning disabilities)		<b>no</b>
<b>Gender</b> (male, female)		<b>no</b>
<b>Age</b> (young and old)		<b>no</b>
<b>Religion or belief</b> (incl. non-believers)		<b>no</b>
<b>Sexual orientation</b> (lesbian, gay, bisexual)		<b>no</b>
<b>Gender reassignment</b> (the process of transitioning from one gender to another)		<b>no</b>
<b>Pregnancy/ maternity</b>		<b>no</b>
<b>Marital/ Civil Partnership status</b>		<b>no</b>
5. If you have answered yes to any of the protected characteristics above in question 4 please give further information about the potential adverse impact  <b>N/A</b>		
6. Based on the responses above, please describe any actions that will be or have been taken to mitigate or minimise any negative impact for our workforce (including volunteers), stakeholders or the public.  <b>N/A</b>		
7. Where appropriate give details of any consultation carried out related to the policy or procedure <b>An initial EIA and PIA was completed in 28/06/2010</b>		
8. Give details of any changes to be made to the policy or procedure as a result of the Analysis. Changes were made to the process in which E&D information was collected. Changes were made to members terms and conditions to include additional information related to data protection and the publication of member details.		

If you have answered YES to any of the questions in 2 and 4 above and the answers to question 6, 7 and 8 do not mitigate and adequately address the adverse impact, you may need to complete a full Equality Analysis. Please consult the Corporate Secretary.

Full Equality Analysis required? **NO**

**INITIAL PRIVACY IMPACT ASSESSMENT****What is Privacy?**

Privacy refers to freedom from intrusion and relates to all information that is personal or sensitive in nature to an individual

	YES	NO
Does the policy or procedure have any impact on privacy?	<b>YES</b>	
If Yes please give details below of the impact and the actions being taken to address any adverse impact. Members sign terms and conditions of membership to allow the publication of their name and profession, any affiliations and attendance at REC meetings in the REC Annual Reports.		

If you have answered YES to the questions above and the answers do not mitigate and adequately address the adverse impact, you may need to complete a full PIA. Please consult the Corporate Secretary.

Full Privacy Impact Assessment required? **NO**

Please date and sign this form. If further analysis is required, please inform the Corporate Secretary.	Name: <i>S. Oliver</i> Date 05/07/2015
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**Appendix 1- Associated documents for use with this procedure**

Doc no.	Document name
1	Person Specification – Lay Member
2	Person Specification – Expert Member
3	Lay Member - Advert
4	Expert Member - Advert
5	Not shortlisted letter
6	Invitation to attend interview letter
7	Not Appointable after interview letter
8	Standard application pack
9	Application forms a and b
10	Short listing form
11	Competency based interview questions
12	Individual scoring sheet
13	Dummy Application Form
14	Reference request letter
15	Reference request form
16	Appointment letter (lay and expert)

17	Appointment Terms and Conditions
18	Standard Email – Welcome Information
19	Checklist for REC Managers: New RES Committee Members
20	Information for members who may be in receipt of state benefits
21	Appointment letter – deputy member
22	Deputy Terms and Conditions
23	Re-appointment letter
24	Re-appointment Terms and Conditions
25	Deputy Re-appointment letter
26	Deputy Re-appointment Terms and Conditions
27	Break in Service letter
28	Leavers Checklist for RES Committee Members
29	Version Change Log (Appointment Letter and Terms & Conditions changes)

## Document Control

### Change Record

Version Number & Status	Date of Change	Reason for Change
1.0 Draft	2008.05.28	Initial Draft – JK review – tacked changes
1.1 Draft	2008.10.18	Changes to section 2 & 3
1.2 Final	2008.10.22	DMG Approved on 2008.10.19
2.0 Draft	2009.04.18	Change in government requirements
2.0 Final	2009.04.20	DMG Approved 2009.04.20
2.1 Draft	2009.04.24	Updated to reflect feedback on mergers/closures undertaken
2.2 Final	2009.07.03	Updated following SHA Leads meeting
2.3 Draft	2009.07.03	Changes for consultation
2.4 Draft	2009.07.29	Sent for comments to REC Community
2.5. Draft	2009.07.29	
2.6. Draft	2010.06.28	Changes arising from EIA/PIA
1.0 Draft for interim use	2011.03.22	Changes to allow interim use awaiting approval to take forward national recruitment campaign
1.1 Draft for interim use	2011.05.15	Additional changes for clarity made by Centre Managers, and additional clarity regarding equal opportunities recording.
2.7 Draft, 1.2 Draft for interim use	2011 .10.10 2011.11.10	Changes to clarify interview process, inclusion of process for transfer of members to other RECs. Correction of references to associated documents.
1.0 HRA Draft	2012. 02.01	Additional associated documents added and Business Case template included. Revised to follow standard format
1.1 HRA Final	2012.02.26	Approved by UKRDG
1.2 HRA Draft	2011.11.01	Clarification of document retention requirements, review and minor changes to associated documents.
1.3 HRA Draft	2014.09/11.30	Annual review – updated to refer to probationary period

Version Number & Status	Date of Change	Reason for Change
1.3 HRA Final	2014 December	Revised to include probationary period, management of return following break in service (following UKECA discussion and agreement) and make changes in line with service changes.
1.4 HRA Draft	April 2015	Revised and changes made for clarity with regard to responsibilities, process for members returning following a leave of absence, and to remove references to NRES.
1.4 HRA Final	July 2015	As above – ready for issue and to include EIA and PIA initial assessment
2.0 HRA Final	December 2015	Reviewed by Sheila Oliver, Ann Tunley and Charlotte Allen following internal audit.
2.0 HRA Final	December 2015	Reviewed by OMG, UKREDG and RMT
2.1 HRA Final	January 2016	Added additional sentence regarding test application form.
2.1 HRA Final	February 2016	Added additional paragraph to section 9 regarding obtaining references (approved by the Director of Operations)

### Reviewers

Name (name of reviewer and/or management group reviewing)	Date Reviewed	Version Reviewed
UKREDG		
Joan Kirkbride		
Sheila Oliver		
Regional Managers		
OMG		
Carol Jones, HR Advisor		
Sheila Oliver, Ann Tunley & Charlotte Allen (RES Operations)	December 2015 (V2.0) January 2016	Version 1.4 & 1.5, 2.0 V2.1
OMG, UKREDG and RMT (Management Group)	December 2015	Version 2.0

### Distribution of Approved Versions

Name of Person/Group	Position	Version Released
UKRDG/NRES Director/NRES Deputy Directors/Head of Corporate Affairs/SRES Managers		Final 2.1
SHA Leads		Final 2.2
Staff Intranet		Final versions

### Distribution of Approved Versions

Platform (e.g.HRA intranet or website)	Date of Publication	Version Released
HRA Website	23/12/2015	HRA Final 2.0
HRA intranet	23/12/2015	HRA Final 2.0
HRA Intranet	13/01/2016	V2.1 Final
HRA Website	13/01/2016	V2.1 Final
HRA Website	24/02/2016	V2.2 Final
HRA Intranet	24/02/2016	V2.2 Final

