



Non-Executive Director (Audit and Risk Assurance Chair) - Care Quality Commission

Information pack for applicants

Closing date: Midday on Wednesday, 28 June 2023
Reference no: VAC-6825

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Section 1 – The Role

1.1 Introduction from Ian Dilks, Chair of CQC

Dear Applicant,

CQC is one of the most important bodies in the health and social care systems in England and is the only national body with a remit which spans both health and social care.

These are times of unparalleled change for CQC. We are in the process of implementing an ambitious new strategy which provides the vision to drive improvements in how people experience health and care services; The Health and Care Act 2022 has given CQC new responsibilities in relation to Local Authorities and Integrated Care Systems; and CQC's assessments of care quality will be essential to help people understand the impact of the pandemic and the steps taken in response in both health and social care systems.

The Board plays a crucial role in guiding CQC during this period of change. Our Audit and Risk Assurance Committee plays a key role in supporting the wider Board, in particular in the identification and effective management of risk. We are seeking a new Chair for this committee with the experience, skills and ambition to contribute to CQC's continuing development at this important time.

If you have the skills we require and wish to make a valuable contribution to the development and integration of health and care systems in England, I do hope you will apply.

Yours sincerely,

Ian Dilks

Chair of CQC

1.2 Role description and person specification

Role Description

As a Non-Executive Director of the CQC Board, you will be responsible for helping to ensure the CQC is a successful organisation - in terms of its effectiveness as a regulator, making sure that health and social care services provide safe, high-quality care, and as an employer. Non-Executive Directors play a key role in ensuring continuous organisational improvement, high performance management, excellent customer focus and service delivery, scrutiny, challenge, fairness, accountability, and effective corporate governance.

Non-Executive Directors will specifically:

- provide an independent view and creative contribution at board meetings and sub committees, including ensuring the long-term strategic focus, effectiveness and reputation of the CQC through purposeful and constructive scrutiny and challenge

- monitor and challenge the performance of the CQC's executive management, in meeting the strategic vision, organisational priorities and business plan objectives including monitoring of organisational performance, service delivery, quality and reputation. Provide assurance regarding the CQC governance, including in relation to periodic reviews of the organisation
- support the Chair and the executive team to ensure the CQC fully embraces and embeds an excellent customer service ethos and delivers accordingly in order to enhance and develop its credibility and reputation
- uphold the values of the CQC to deliver excellence, and demonstrating care, integrity and teamwork into all aspects of its work, and ensure that the organisation promotes equality and diversity for all providers, people who use services, people who work for CQC and other stakeholders

Person specification

Ministers are seeking to appoint a new NED to the board of the CQC, and who will be responsible for Chairing the CQC's Audit and Risk Assurance Committee.

The Department of Health and Social Care values and promotes diversity and encourages applications from all sections of the community. The boards of public bodies should reflect the population they are there to serve. Boards also benefit from fresh perspectives, and we are always keen to encourage candidates new to public appointments to consider applying for our roles.

To be considered, you must be able to demonstrate that you have the qualities, skills and experience to meet all the essential criteria for appointment.

Essential Criteria

The Department of Health and Social Care values and promotes diversity. The boards of public bodies should reflect the population they are there to serve. Boards also benefit from fresh perspectives, and we are keen to encourage candidates from all sections of the community and from across the UK to consider applying for this role.

To be considered, you must be able to demonstrate that you have the qualities, skills, and experience to meet all the essential criteria for appointment:

- A career track record of achievement, including in a significant senior financial role in either the private or public sector, with a professional background in accountancy or a related discipline, and experience of assurance, risk management and the work of audit committees.
- a career record of achievement, with an ability to operate effectively on the board of a high-profile national organisation
- an ability to focus on innovation, culture change, and care quality and how the CQC by regulation and inspection can encourage providers to even greater focus on improving their record

- an ability to guide the CQC's strategic direction, and use sound judgement, based on the ability to consider and challenge complex issues from an impartial and balanced viewpoint
- an understanding of corporate governance and a commitment to the principles of public service, with the highest standards of personal propriety in relation to governance, accountability, risk and financial management
- good communication skills, with the ability to work as part of a team, with a positive and constructive style, challenging management recommendations where necessary.

Remuneration and status of appointment

- The Audit and Risk Chair NED is remunerated at £13,137 per annum.
- Remuneration for this role is treated as employment income and will be subject to tax and National Insurance contributions, both of which will be deducted at source under PAYE before you are paid.
- You can claim reimbursement for reasonable travel and subsistence costs which are properly and necessarily incurred on official business, in line with the travel and subsistence policy and rates of the CQC. However, these payments are taxable as earnings and will be subject to tax and national insurance, both of which will be deducted at source under PAYE before you are paid. A copy of the policy and rates can be obtained from the CQC.
- This is an office holder appointment and does not attract any benefits under any Civil Service Pension Scheme. You will not be eligible for redundancy pay as you are not an employee. No other arrangements have been made for compensation upon the end of your term of appointment because an office holder who is appointed for a limited duration would have no expectation of serving beyond that period.
- As this is an office holder appointment, you will not become a member of the Civil Service. You will not be subject to the provisions of employment law.

Time commitment

2 to 3 days per month.

Location

CQC board meetings are held every other month, towards the middle of the month. There is no board meeting in August. Details of the composition of CQC's board can be found [here](#)

Upcoming meetings dates:

- 19 July
- 27 September
- 29 November

Care Quality Commission
2 Redman Place
London E20 1JQ

Tenure of office

Ministers will determine the length of the appointment, which will be up to 3 years.

The possibility of re-appointment for a further term is at the discretion of Ministers. Any re-appointment is subject to satisfactory annual appraisals of performance during the first term in the post. There is no automatic presumption of re-appointment; each case should be considered on its own merits, taking into account a number of factors including, but not restricted to, the diversity of the current board and its balance of skills and experience. In most cases, the total time served in post will not exceed more than two terms or serve in any one post for more than ten years.

Accountability

Non-Executive Directors are appointed by the Secretary of State for Health and Social Care and are accountable to the Secretary of State via the Chair for carrying out their duties and for their performance.

For a discussion about the role

For further information regarding the role of the CQC and the role of a NED please contact:

Meena Paterson

Email: Meena.Paterson@dhsc.gov.uk

1.3 CQC role and responsibilities

The [Care Quality Commission \(CQC\)](#) is the independent regulator of health and adult social care in England. Its purpose is to ensure health and social care services provide safe, effective, compassionate, high-quality care and to encourage improvement where providers fall short of CQC's fundamental standards. Its role is to register providers of services, monitor, inspect and rate, take enforcement action for poor care, and speak independently on matters of quality in health and adult social care services.

The body is primarily funded through fees charged to registered providers, with DHSC providing grant-in-aid for expenditure for which the CQC are unable to charge fees. In 2021/22 CQC's fees were made up 88% of revenue funding, with 11% from GIA, and the remaining 1% coming from other external sources. Capital expenditure was funded through additional GIA and utilisation of the retained earnings reserve. The current fees scheme became effective on 1 April 2019 and is set at a level to cover the cost of chargeable activities.

In May 2021 the CQC launched its new strategy. Pivotal to this strategy, is the CQC's organisational transformation programme, charged with delivering a new target operating model, translating the new strategy into a tangible delivery plan for determining what the organisation will do and how it will do it. There are a number of major programmes to support the work of the Regulator as it looks to the future and a regulatory role that is informed by intelligence and data and a digitally led way of working.

As senior decision-making body, CQC's Board provides strategic leadership and takes collective responsibility for the long-term success of the organisation. The Board consists of the CQC Chair and up to fourteen Directors, including the Chair of [Healthwatch England](#). All Non-Executive Directors are public appointees, appointed by the Secretary of State for Health and Social Care.

The Board is supported in its work by its committees. These Committees are the Regulatory Governance Committee, the Audit and Risk Assurance Committee, and the Remuneration Committee – as well as two statutory committees. The Regulatory Governance Committee acts to strengthen the Board's oversight of the risks associated with delivering CQC's regulatory responsibilities. The Audit and Risk Assurance Committee supports the Board in its responsibilities for issues of risk, control and governance. The Committee also oversees issues of risk, governance and control relating to Healthwatch England and the National Guardian's Office.

In addition to its role described above, the CQC is required to maintain two statutory committees, Healthwatch England and the External Strategic Advisory Group (ESAG). [Healthwatch England](#) acts as a national consumer champion in collecting and disseminating the views of people who use health and social care services. Although Healthwatch England is part of the CQC, it sets its own priorities, has its own brand identity, and speaks with an independent voice.

ESAG was set up to provide advice to the Board and Executive Team on the implementation of the current strategy, the development and implementation of the transformation programme and the development of future strategies. Primary membership includes representatives from provider trade associations, membership bodies from across all sectors and representatives from public stakeholders. Commissioners and system partners are included where relevant topics or areas arise.

The [National Guardian](#) is a non-statutory appointment by the CQC to lead cultural change in the NHS, to establish and support a strong network of Freedom to Speak Up Guardians. The National Guardian's Office highlight NHS providers that are successful in creating the right environment for staff to speak up safely and share this best practice across the NHS. It independently reviews cases where healthcare providers may have failed to follow good practice, working with statutory bodies to take action where needed.

Section 2: The recruitment

2.1 Making an application

Thank you for your interest in the appointment of a Non-Executive Director.

The Department of Health and Social Care's Honours and ALB Public Appointments Unit is managing this recruitment campaign.

In order to apply, you will need to [create an account](#) or [sign in](#) on the "Apply for a public appointment" website.

Once you are logged into your account, click on 'apply for this role' and follow the on-screen instructions. To apply, all candidates are required to provide:

- a Curriculum Vitae (CV)
- a Supporting Statement
- equality information
- information relating to any outside interests or reputational issues

Guidance on what to include in your CV/Supporting Statement and tips for applying can be found in the corresponding sections below and on the public appointment website: [Public appointments - GOV.UK](#).

We will ask you to check and confirm your personal details to ensure your application is accurate.

You will also have the opportunity to make a reasonable adjustment request or apply under the disability confident scheme before you submit your application.

You will also be required to make any declarations related to standards in public life and ensuring public confidence in your Supporting Statement. Further information on this can be found in the relevant section below.

If you are unable to create an account and apply online, or if you have any problems submitting your application online, please contact Daniel Clemence on 0113 2545335

Applications must be received by **midday on Wednesday, 28 June 2023**.

The Advisory Assessment Panel reserves the right to only consider applications that contain all of the elements listed above, and that arrive before the published deadline for applications.

In completing an application, please firstly note the following in relation to:

- Disqualification from appointment
- Outside interests and reputational issues: Conflicts of interest
- Outside interests and reputational issues: Political Activity and social media
- Standards in public life and ensuring public confidence.

Disqualification from appointment

The Cabinet Office sets out the following regarding all public appointments:

In general, you should have the right to work in the UK to be eligible to apply for a public appointment. There are a small number of specialist roles that are not open to non-British citizens. Any nationality requirements will be specified in the vacancy details.

The Government expects all holders of public office to work to the highest personal and professional standards. You cannot be considered for a public appointment if:

- you are disqualified from acting as a company director (under the Company Directors Disqualification Act 1986)
- have an unspent conviction on your criminal record
- your estate has been sequestrated in Scotland or you enter into a debt arrangement programme under Part 1 of the Debt Arrangement and Attachment (Scotland) Act 2002 (asp 17) as the debtor or have, under Scots law, granted a trust deed for creditors.

In addition, legislation related to CQC sets out how individuals are disqualified from appointment as a CQC NED, if they/are:

- Work for or hold other certain positions on a health service body or a body which provides services under a commissioning contract, or you are contracted in some capacity to provide services to such a body
- Have been dismissed as an employee in the last 5 years (other than by redundancy) from a health service body or a body which provides health services under a commissioning contract
- Had your appointment terminated at any point on certain grounds from other positions on a health service body or from another role on a body which provides health services under a commissioning contract
- Have been convicted of a criminal offence within the previous 5 years and sentenced to imprisonment, or been subject to certain decisions directions under the Competition Act 1998 or has been a party to an agreement which was the subject of a regulatory or judicial finding or decision.
- Have been subject to a bankruptcy order or restrictions order
- Have been subject to a disqualification order or undertaking in relation to Company Directors
- Have been disqualified from being or removed from office as a charity trustee on certain grounds
- Have been refused from inclusion on a list that allows you to provide primary medical, dental, ophthalmic or pharmaceutical services or you have been suspended or removed from such a list on certain grounds

Also:

- You cannot hold office as a chair or NED of an NHS Trust whilst you are a chair, member, director or employee of the Care Quality Commission.
- You cannot hold office as a chair or non-officer member of the NHS Business Services Authority if you are the chair, chief executive or non-officer member of the Care Quality Commission.

The above is only intended to act as a summary and you should consider the full legislation, which is attached for your ease at **Annex A** to this document.

When sending your application online, you will be asked to confirm that the information you have provided is true and correct and that you are eligible to apply for a public appointment. As part of this, you will also confirm that you have read any disqualification criteria for the role, and that you are willing to stand down from any other role/s in order to take up appointment. If you are currently disqualified from appointment, please provide further details in your supporting letter.

For further advice please contact Daniel Clemence at Daniel.Clemence@dhsc.gov.uk

Outside interests and reputational interests: Conflicts of interest

Before you apply you should carefully consider if you or a party related to you have any interests which could lead to a real or perceived conflict of interest if you were to be appointed.

When you apply you will be asked to complete four sections on the following:

- Financial interests
- Employment, appointments and other outside roles
- Personal interests
- Any other relevant interests or activity.

You should declare anything relevant that you think may call into question your ability to properly discharge the responsibilities of the role you are applying for, or may be perceived as having scope to do so by a reasonable member of the public.

Interests may include, (without limitation), any outside personal or business interests, any direct and indirect financial interests (such as shareholdings or share options in individual companies), or any positions of employment, other appointments or other positions of authority, that you or any party related to you have and which may influence your judgement in performing your public appointment or may be perceived by a reasonable member of the public as having scope to do so. A 'party related to you' could include for example (but without limitation) a spouse/partner, a business partner, a close family member or a person living in the same household as you, or a close family member.

Further help and examples of the types of things which you may need to disclose will be given to you on the relevant pages when you create your account and application on the public appointments application system (gov.uk website).

Many conflicts of interest can be satisfactorily resolved and declaring a potential conflict does not prevent you from being interviewed.

If you are shortlisted, the panel will discuss any potential conflicts with you during your interview, including any proposals you may have to mitigate them, and can record that in their advice to Ministers. If Ministers wish to appoint you, an offer of appointment may be subject to you giving up any unmanageable conflicts of interest. Any interests that are deemed manageable will need to be formally declared and may be published in line with CQC's organisational policy regarding Declarations of Interest.

Failure to declare a potential conflict of interest may become grounds for withdrawing an offer of appointment. If offered the role, you will also be required to make a Declaration of Interests and to keep the Declaration up to date throughout the tenure of your appointment. The requirement to declare interests will also be included in your Terms and Conditions of appointment. Failure to disclose an interest, subject to the interest and the circumstances, may become grounds during the tenure of your appointment, for suspension or termination of your appointment.

Outside interests and reputational issues: Political Activity and social media

In the same section of your online application, you will also be asked to declare if you have undertaken any political activity for a political party within the last five years and for details of any social media accounts that can be viewed by the public.

Political Activity

Political activity information is primarily for monitoring purposes only, however if you are shortlisted for interview, this information will be shared with the Advisory Assessment Panel. The reason for this, is that it is appreciated that such activities may have given you relevant skills, including experience gained from committee work, collective decision-making, resolving conflict and public speaking. If you have had such experience and you consider it relevant to your application for this post, you should also take the opportunity to include it separately in your Supporting Statement. If possible, you should not, however, identify the relevant political party in your statement.

If you are appointed to this role, please note that any political activity you declare will be published in accordance with the Governance Code on Public Appointments. Political activity is not a bar to appointment, but it must be declared.

Social Media

You can provide up to five public social media accounts and will be asked for the full URL of each. If you apply for a public appointment and are shortlisted for interview, DHSC will conduct appropriate checks, as part of which we will consider anything in the public domain related to your conduct or professional capacity. This may include searches of previous public statements and social media, blogs or any other publicly available information. We ask for information about your social media accounts to make sure these checks are carried out accurately.

Standards in public life and ensuring public confidence

If there are any issues in your personal or professional history that could, if you were appointed, be misconstrued, cause embarrassment to Ministers or the ALB or cause public confidence in

the appointment to be jeopardised, **it is important that you bring them to the attention of the Advisory Assessment Panel and provide details of the issue/s in your Supporting statement.**

This should include declaring in your Supporting Statement if:

- you are, or have been, bankrupt or you have made an arrangement with a creditor at any point, including the dates of this
- you are subject to a current police investigation
- there are any previous or pending personal conduct issues where:
 - i) a complaint/ personal conduct issue has either been upheld or partly upheld
 - ii) an investigation that relates at least in part to your personal conduct, is to take place but it is yet to start, or a similar such investigation is underway, but it is yet to conclude
 - iii) a complaint/personal conduct issue is current, but at the time of your application it is yet to be confirmed whether or how it will be investigated further.
- there are any possible reputational issues arising from your past actions or public statements that you have made (including through social media and blogs)
- there are any other matters which may mean you may not be able to meet the requirements of the Code of Conduct for Board Members of Public Bodies. You can access this document at: [Code of conduct for board members of public bodies - GOV.UK \(www.gov.uk\)](http://www.gov.uk)
- The Code of Conduct for the CQC Board can be found at [CM091809b_Item9_BoardCodeofConduct.pdf \(cqc.org.uk\)](http://cqc.org.uk)

Alongside your own declaration, we will conduct appropriate checks, as part of which we will consider anything in the public domain related to your conduct or professional capacity. This may include searches of previous public statements and social media, blogs or any other publicly available information. This will be shared with the Panel.

The Panel may explore any issues you have raised or have been identified in Due Diligence checks with you as part of assessing your application.

Failure to disclose relevant information requested could result in an appointment offer being withdrawn or the appointment being terminated, as the person appointed to this role will be expected to demonstrate the highest standards of corporate and personal conduct and in line with standards set out in the Code of Conduct for Board Members of Public Bodies, which includes the Seven Principles of Public Life. As part of agreeing to the terms and conditions of appointment you will be expected to agree to meeting the standards set out in this Code.

CV

Please ensure your CV includes:

- Your full name, title, home address, personal contact telephone numbers (land line and mobile) and personal email address.
- Details of your education and qualifications, employment history, directorships, membership of professional bodies and any relevant publications or awards.
- Contact details for at least two referees. One referee should be the person to whom you are/were accountable in your current/most recent appointment or position of employment. Please indicate the relationship of each referee to you. References will be requested for short-listed candidates prior to interview
- Brief details of your current or most recent post and the dates you occupied this role, and any past or present Ministerial appointments.

Supporting Statement

The Supporting Statement is your opportunity to demonstrate how you meet each of the criteria set out in the person specification. You may want to add the essential and/or desirable criteria set out in the role description as subheadings and in your statement and provide evidence underneath these. This will help the Advisory Assessment Panel to see how your skills and expertise relate to the role.

Please also set out details regarding any reputational issues (see above guidance on Standards in Public life).

Please ensure your full name, the role to which you are applying and the corresponding reference number for the post are clearly noted at the top of your Statement.

Please write all acronyms in full first, limit your statement to two pages and type or write clearly in black ink.

We will commission a pre-assessment of candidate applications which will then be provided to the Panel for consideration and to inform the shortlisting process. By applying, you are agreeing to your application being shared with another party for pre-assessment. It is the responsibility of the panel to determine who it believes best meet the criteria for the role, and who should be invited to interview.

You must inform the Department if, *during the application and assessment process*, your circumstances change in respect to any information that has been or should have been provided by you in your application.

Equality Information

You will be asked to complete questions on equality information when completing your application online. If you have previously created an account, the responses from that previous application will be saved. You will have the opportunity to review and edit your responses before you submit an application.

We encourage applications from talented individuals from all backgrounds and across the whole of the United Kingdom. Boards of public bodies are most effective when they reflect the diversity of views of the public they serve and this is an important part of the Government's levelling up agenda.

We collect equality information, including information about applicants' characteristics and educational and professional backgrounds so that we can make sure we are attracting a broad range of people to these roles and that our recruitment processes are fair for everyone. Without this information, it makes it difficult to see if our outreach is working, if the application process is having an unfair impact on certain groups and whether changes are making a positive difference.

The data you provide is used to produce anonymised management information about the diversity of applicants. You can select "prefer not to say" to any question you do not wish to answer. **The information you provide will not be seen by the Advisory Assessment Panel.**

Reasonable Adjustments

We are committed to making reasonable adjustments to make sure applicants with disabilities, physical or mental health conditions, or other needs are not substantially disadvantaged when applying for public appointments. This can include changing the recruitment process to enable people who wish to apply to do so.

Some examples of adjustments are:

- ensuring that application forms are available in different or accessible formats
- making adaptations to interview locations
- allowing candidates to present their skills and experience in a different way
- giving additional detailed information on the assessment process to allow candidates time to prepare themselves
- allowing support workers, for example sign language interpreters
- making provision for support animals to attend.

When you complete your application online, you will be given the opportunity to tick a box to request reasonable adjustment(s) to the application process at the "check your answers before sending your application" stage.

Disability Confident Scheme

The Department of Health and Social Care values and promotes diversity and is committed to equality of opportunity for all and to the appointment of disabled people. We are a member of the Government's Disability Confident Scheme. We use the Disability Confident Scheme symbol, along with other like-minded employers, to show our commitment to good practice in appointing people with a disability. The Scheme helps recruit and retain disabled people.

As part of implementing the Scheme, we guarantee an interview to anyone with a disability whose application meets all the essential criteria in the person specification for the role and who has asked that their application is considered under the Scheme. Indicating that you wish your application to be considered under the Scheme will in no way prejudice your application.

What do we mean by a disability?

To be eligible for the Disability Confident Scheme you must have a disability or long-term health condition, which could be physical, sensory or mental and must be expected to last for at least 12 months. You do not have to be registered as a disabled person to apply under this Scheme.

If you wish to apply under the Scheme, please tick the relevant box at the “check your answers before sending your application” stage of your online application.

2.2 The Assessment Process

We will deal with your application as quickly as possible and will advise you of the likely timetable at each stage.

Planned timetable

- Closing date: Midday on 28 June 2023
- Shortlisting: 20 July 2023
- Interviews: September TBC

Advisory Assessment Panel

Advisory Assessment Panels (AAP) are chosen by Ministers to assist them in their decision-making. These include a departmental official and an independent member. For competitions recruiting non-executive members of a board (apart from the Chair), the panel will usually include a representative from the public body concerned.

AAP's perform a number of functions, including agreeing an assessment strategy with ministers, undertaking sifting, carrying out interviews in line with the advertised criteria and deciding objectively who meets the published selection criteria for the role before recommending to ministers which candidates they find appointable. It is then for the minister to decide who to appoint to the role.

The panel will include:

- William Vineall, Director Acute Care and Quality Policy
- Ian Dilks, Chair of CQC
- Janice Scanlan, Director at Nedendro and Associate at Hunter Healthcare

Assessment

- Ministers are responsible and accountable to Parliament for the public appointments made within their department. As a result, they must be consulted at every stage of the appointments process.
- An Advisory Assessment Panel (AAP) is appointed by Ministers to assist them in their decision making. The role of the Panel is to decide, objectively, which candidates meet the eligibility criteria for the role.
- At the shortlisting meeting the AAP will assess applications against the essential criteria and decide which candidates have best met the criteria, who should be recommended for interview. Ministers will then be consulted on the AAP's recommended shortlist. If you have applied under the Disability Confident Scheme and you meet all the essential criteria, then you will also be invited for an interview.

- If you apply under the Disability Confident Scheme and you are not shortlisted for interview, we can provide a summary of the assessment of your written application, if you choose to request feedback. However, we regret that due to the volume of applications received, we are only able to offer feedback to candidates who have been unsuccessful at the interview stage.
- Once the shortlist has been agreed by Ministers, you will be advised (by e-mail) whether you have been shortlisted. Those shortlisted will be invited to an interview. Interviews will be conducted either face-to-face, in central London or by video/ teleconference. We will confirm arrangements to shortlisted candidates in due course.
- If you are invited to interview and are unable to attend on the set date, then an alternative date can only be offered at the discretion of the AAP.
- The AAP will meet again to interview candidates and determine who meets the essential criteria and is therefore appointable to the role. The AAP may invite you to make a brief presentation at the start of the interview and will go on to question you about your skills and experience, including asking specific questions to assess whether you meet the criteria set out for the post. The AAP will also explore with you any potential conflicts of interest or any other issues arising from your personal and professional history which may impact on an appointment decision (see section 2.1 for further details).
- Details of the panel's assessment of interviewed candidates are provided to Ministers, including whether they have judged a candidate to be appointable to the role. It is then for Ministers to decide who should be appointed. In some circumstances, Ministers may choose not to appoint any candidates and re-run the competition.
- Ministers may choose to meet with candidates before making a decision. Candidates should therefore be prepared for a short time gap between interview and a final appointment decision being made. Candidates who have been interviewed will be kept informed of progress.
- Once the decision on the appointment has been made, interviewed candidates will be advised of the outcome of their application, including whom they may approach for feedback, if they wish. We appreciate it takes a lot of time and effort to apply for roles, and prepare for and attend an interview, and that feedback is a valuable part of the process.

Offer of appointment

If you are successful, you will be contacted by Officials to inform you of the offer and to confirm if you would be willing to accept. If you would, then the next steps will be to ask you to complete a Declaration of Interests form, which will be required to be signed-off by you and a senior official and for DHSC to conduct baseline security checks.

Baseline Personnel Security Standard (BPSS) checks are conducted on candidates prior to appointment and your role will be offered subject to these checks being completed. The BPSS is a recognised standard within government for the screening of individuals. The checks will require you to initially provide three forms of documentation to the Honours and ALB Public Appointments Unit to verify your identity, and then provide further personal data, by completing an online form. The link to complete this form will be sent separately to you.

Appointment

On completion of your Declaration of Interests and baseline security checks, you will receive a letter from Ministers appointing you as a NED of CQC, which will confirm the terms and conditions on which the appointment is offered.

Announcement

All public appointments are announced on GOV.UK. The announcement is required to include the length of your appointment, the remuneration for the role and whether you have declared any political activity. We will share the draft announcement with you before it is made.

Queries

For any queries about your application status or the selection process, please contact Daniel Clemence in DHSC's Honours and ALB Public Appointments Unit:

Email: Daniel.Clemence@dhsc.gov.uk

If you choose to apply, we would like to thank you in advance for your time and effort in making an application.

You will receive an automated email to confirm your application has been submitted successfully. Following the closing date, you will receive a further email from DHSC's Honours and ALB Public Appointments Unit which will confirm next steps in the selection process. If you have not received your application ID reference number within 3 working days of the advertised closing date, please contact us quoting reference VAC-6825.

Governance Code on Public Appointments and the Commissioner for Public Appointments

The Governance Code on Public Appointments, published by the Cabinet Office, sets out the principles that should underpin all public appointments. The Governance Code can be found at:

<https://www.gov.uk/government/publications/governance-code-for-public-appointments>

The regulation of public appointments against the requirements of the Governance Code is carried out by the Commissioner for Public Appointments.

The Commissioner provides independent assurance that public appointments are made in accordance with the principles set out in the Code. The Commissioner is appointed by the Queen and is independent of the Government and the Civil Service. Further information about the role of the Commissioner is available from:

<http://publicappointmentscommissioner.independent.gov.uk>

If you are not completely satisfied

The Department of Health and Social Care will aim to process all applications as quickly as possible and to treat all applicants with courtesy. If you have any complaints about the way

your application has been handled, please contact Steve Howell by emailing Steve.Howell@dhsc.gov.uk

If after receiving a comprehensive response from the Department you are still concerned, you can write to the Commissioner for Public Appointments. Please contact:

The Commissioner for Public Appointments
1 Horse Guards Road
London SW1A 2HQ
Tel: 0207 271 8938
Email: publicappointments@csc.gov.uk

2.3 How we will manage your personal information

Your personal information will be held in accordance with the General Data Protection Regulation. You will not receive unsolicited paper or electronic mail because of sending the Department of Health and Social Care any personal information. No personal information will be passed on to third parties for commercial purposes.

When we ask you for personal information, we promise we will:

- Only ask for what we need, and not collect too much or irrelevant information
- Ensure you know why we need it
- Protect it and insofar as is possible, make sure nobody has access to it who shouldn't
- Ensure you know what choice you have about giving us information
- Make sure we don't keep it longer than necessary
- Only use your information for the purposes you have authorised

We ask that you:

- Provide us with accurate information
- Inform us as soon as possible of any changes or if you notice mistakes in the information we hold about you

The Department of Health and Social Care will process personal data relating to you in accordance with: the Department of Health and Social Care data protection policy at [DHSC privacy notice - GOV.UK \(www.gov.uk\)](#) and the Cabinet Office's data protection policy for public appointments at [Privacy – Apply for a public appointment – GOV.UK \(apply-for-public-appointment.service.gov.uk\)](#)

If you apply for a post, we will share some of the information you provide with the members of the selection panel for the post to which you are applying, so that your CV and supporting letter can be assessed.

The diversity information you provide will not be used in the selection process and will therefore not be shared with the Advisory Assessment Panel assessing your application at any stage. However, panels may review the political activity response at the interview stage. This in no way acts as a bar to appointment.

The Commissioner for Public Appointments regulates and monitors appointments to public bodies to ensure procedures are fair. The Department of Health and Social Care is required by the Commissioner for Public Appointments to retain information about the people who apply for public appointments within his remit and make this information available to him for audit purposes, if requested to do so. Information you provide in your application may therefore be made available to the Commissioner for Public Appointments and the Commissioner's auditors on a confidential basis to help fulfil either the Commissioner's formal complaints investigation role or for audit purposes.

Annex A – Care Quality Commission Legislation Further Information

Disqualification

[The Care Quality Commission \(Membership\) Regulations 2015 \(legislation.gov.uk\)](https://www.legislation.gov.uk)

Schedule Grounds for Disqualification

1.— (1) The person has within the preceding five years—

(a) been convicted in the United Kingdom of any criminal offence or been convicted elsewhere of any offence which, if committed in any part of the United Kingdom, would constitute a criminal offence; and

(b) been sentenced to a sentence of imprisonment (whether suspended or not),

and the conviction has not been quashed nor the sentence reduced to a sentence other than a sentence of imprisonment (whether suspended or not) on appeal.

(2) For the purposes of this paragraph, the date of conviction is deemed to be the date on which the ordinary period allowed for making an appeal or application with respect to the conviction expires or, if such an appeal or application is made, the date on which the appeal or application is finally disposed of or abandoned or fails by reason of its not being prosecuted.

2. The person is an undisclosed bankrupt or a person whose estate has had sequestration awarded in respect of it and who has not been discharged.

3. The person is the subject of a bankruptcy restrictions order or an interim bankruptcy restrictions order⁽¹⁾ or an order to like effect made in Scotland or Northern Ireland.

4. The person is a person to whom a moratorium period under a debt relief order applies under Part 7A of the Insolvency Act 1986⁽²⁾ (debt relief orders).

5. The person has made a composition or arrangement with, or granted a trust deed for, creditors and not been discharged in respect of it.

6.— (1) The person has been dismissed (without being re-instated) by reason of misconduct from any paid employment where that dismissal has not been the subject of a finding of unfair dismissal by a tribunal or court.

(2) For the purposes of this paragraph, a person is not to be treated as having been in paid employment by reason only of that person having been—

(a) the chair or non-executive director of an NHS trust;

(b) the chair, or a governor or a non-executive director of an NHS foundation trust;

(c) in the case of any other NHS body, the chair or a non-officer member of the body; or

(d) a member of the Audit Commission.

7.— (1) The person is the subject of a national NHS disqualification, namely—

(a) a decision made by the First-tier Tribunal under section 159 of the NHS Act 2006(3) or under regulations corresponding to that section made under section 91(3), 106(3), 123(3) or 146(3) of that Act (regulations in relation to lists of persons performing primary medical, dental, ophthalmic and local pharmaceutical services); or

(b) a decision by the NHS Tribunal which is treated as a national disqualification by the FHSAA by virtue of regulation 6(4)(b) of the Abolition of the NHS Tribunal (Consequential Provisions) Regulations 2001(4) or regulation 6(4)(b) of the Abolition of the NHS Tribunal (Consequential Provisions) Regulations 2002(5).

(2) In this paragraph—

“FHSAA” means the Family Health Service Appeal Authority(6) constituted under section 169 of, and Schedule 13 to, the NHS Act 2006;

“NHS Tribunal” means the Tribunal constituted under section 46 of the National Health Service Act 1977(7).

8. The person has been refused inclusion—

(a) under regulations made under section 129 of the NHS Act 2006, in a pharmaceutical list; or

(b) in a performers list,

and has not subsequently been included in a pharmaceutical list or, as the case may be, a performers list.

9. The person is conditionally included—

(a) under regulations made under section 148 of the NHS Act 2006(8), in a pharmaceutical list; or

(b) under regulation 10 of the Performers Lists Regulations, in a performers list.

10. The person has been removed—

(a) under section 151 of the NHS Act 2006(9), from a pharmaceutical list; or

(b) from a performers list.

11. The person is contingently removed, under section 152 of the NHS Act 2006(10), from a pharmaceutical list.

12. The person is suspended—

(a) under section 154 or 155 of the NHS Act 2006(11), from a pharmaceutical list; or

(b) under regulation 12 of the Performers Lists Regulations, from a performers list.

13. The person is one in whose case a body that licences or regulates a profession has made a decision under any enactment in force in Wales, Scotland or Northern Ireland

corresponding to those prescribed in paragraphs 7 to 12 where that decision has like effect to the circumstances in those paragraphs.

14. The person is subject to—

(a) a disqualification order or disqualification undertaking under the Company Directors Disqualification Act 1986(12);

(b) a disqualification order or disqualification undertaking under the Company Directors Disqualification (Northern Ireland Order) 2002(13); or

(c) an order made under section 429(2)(b) of the Insolvency Act 1986(14) (disabilities on revocation of administration order against an individual).

15. The person has been removed—

(a) from the office of charity trustee or trustee for a charity by an order made by the Charity Commissioners or the High Court on the grounds of any misconduct or mismanagement in the administration of the charity for which that person was responsible or to which that person was privy, or which that person, by his conduct, contributed to or facilitated; or

(b) under section 34 of the Charities and Trustee Investment (Scotland) Act 2005(15) (powers of Court of Session to deal with management of charities) from being concerned in the management or control of any charity or body controlled by a charity.

16. The person's tenure of office as the chair or as a member, director or governor of an NHS body has been terminated on the ground that—

(a) it was not in the interests of, or conducive to the good management of, that NHS body or the health service that that person should continue to hold that office;

(b) that person failed, without reasonable cause, to attend any meeting of that NHS body for a period of three months or more; or

(c) that person failed to declare a pecuniary interest or withdraw from consideration of any matter in respect of which that person had a pecuniary interest.

17. The person ceased to be a member of a local authority by virtue of section 85 of the Local Government Act 1972(16) (vacation of office by failure to attend meetings).

18. The person—

(a) is disqualified from being or becoming a member of a local authority by virtue of a decision of the First-tier Tribunal made under section 78A of the Local Government Act 2000(17) or a decision of a Welsh case tribunal under section 79 of that Act, or

(b) is subject to an order under section 34(4) of the Localism Act 2011(18) (disqualification from being or becoming a member or co-opted member of a local authority).

19. The person ceased to be a Scottish councillor by virtue of section 35 of the Local Government (Scotland) Act 1973(19) (vacation of office by failure to attend meetings).

20. The person is disqualified from being or becoming a Scottish councillor by virtue of a decision of the Standards Commission for Scotland made under section 19 of the Ethical Standards in Public Life etc. (Scotland) Act 2000(20).

21. The person has been removed from office as a member of Social Care and Social Work Improvement Scotland, established under section 44 of the Public Services Reform (Scotland) Act 2010(21) (Social Care and Social Work Improvement), pursuant to paragraph 5 of Schedule 11 to that Act (removal of members).

22. The person is included in the children's barred list or adults' barred list, maintained under section 2 of the Safeguarding Vulnerable Groups Act 2006(22) or in any corresponding list maintained under an equivalent enactment in force in Scotland or Northern Ireland.

23. The person's registration as a provider or manager of an establishment or agency under Part 2 of the Care Standards Act 2000 has been cancelled by the registration authority under section 14 of that Act(23) except where—

(a) that decision has been subject to a direction by the Tribunal given under section 21 of that Act that it is not to have effect; or

(b) the cancellation was only by reason of an application for cancellation having been made by the registered person pursuant to section 15(1)(b) of that Act(24).

24. The person's application for registration under Part 1 of the Health and Social Care Act 2008 has been refused under section 12 or 15 of that Act.

25. The person's registration as a provider or manager of an establishment or agency under Part 1 of the Health and Social Care Act 2008 has been cancelled by the Commission under section 17 of that Act except where—

(a) that decision has been subject to a direction by the First-tier Tribunal given under section 32 of that Act(25) that it is not to have effect; or

(b) the cancellation was only by reason of an application for cancellation having been made by the registered person pursuant to section 19(1)(b) of that Act(26).

26. The person's registration under Part 1 of the Health and Social Care Act 2008 has been cancelled by an order of a justice of the peace under section 30 of that Act(27) (urgent procedure for cancellation) except where that order has been subject to a direction by the First-tier Tribunal given under section 32 of that Act that it ceases to have effect.

27. The person is one in whose case a decision which is of like effect to those listed in paragraph 24, 25 or 26 has been made under any enactment in force in Scotland or Northern Ireland corresponding to Part 1 of the Health and Social Care Act 2008.

28.— (1) The person's registration as a health care professional has been withdrawn or suspended.

(2) "Health care professional" means a person who is a member of a profession regulated by a body for the time being mentioned in section 25(3) of the National Health Service Reform and Health Care Professions Act 2002(28).

29. The person has been removed or suspended—

(a) in Wales, from a register maintained under section 56 of the Care Standards Act 2000(29) pursuant to rules made under sections 59 and 71 of that Act;

(b) in England, from a register maintained under article 5 of the Health and Social Work Professions Order 2002(30), pursuant to article 29 of that Order; or

(c) from a corresponding register maintained under any enactment in force in Scotland or Northern Ireland.

(1) See Schedule 4A to the Insolvency Act [1986 \(c.45\)](#), inserted by sections 257(2) of, and Schedule 20 to, the Enterprise Act [2002 \(c.40\)](#).

(2) Part 7A was inserted by section 108 of, and Schedule 17 to, the Tribunals, Courts and Enforcement Act [2007 \(c.15\)](#).

(3) Section 159 was amended by paragraph 119 of Schedule 2 to the Transfer of Tribunal Functions Order 2010 [S.I. 2010/22](#) and paragraph 85 of Schedule 4 to the Health and Social Care Act 2012. Section 91(3) was amended by para 35 of Schedule 4 to the Health and Social Care Act 2012. Section 106(3) was amended by paragraph 47 of Schedule 4 to the Health and Social Care Act 2012. Section 123(3) was amended by paragraph 60 of Schedule 4 to the Health and Social Care Act 2012.

(4) [S.I. 2001/3744](#). Relevant amending instrument is [S.I. 2002/2469](#).

(5) [S.I. 2002/1920](#)

(6) The Family Health Services Appeal Authority was abolished on 18 January 2010 by article 3 of [S.I. 2010/22](#).

(7) [1977 c.49](#). Section 46 was repealed by the Health and Social Care Act 2001, paragraph 5(8) of Schedule 5 and Schedule 6, Part 1.

(8) Section 148 was amended by paragraph 113 of Schedule 2 to [S.I. 2010/22](#) and paragraph 77 of Schedule 4 to the Health and Social Care Act 2012.

(9) Section 151 was amended by paragraph 79 of Schedule 4 to the Health and Social Care Act 2012.

(10) Section 152 was amended by paragraph 80 of Schedule 4 to the Health and Social Care Act 2012.

(11) Section 154 was amended by paragraph 113 of Schedule 2 to the Transfer of Tribunal Functions Order 2010 ([S.I. 2010/22](#)) and paragraph 81 of Schedule 4 to the Health and Social Care Act 2012. Section 155 was amended by paragraph 116 of Schedule 2 to [S.I. 2010/22](#) and paragraph 82 of Schedule 4 to the Health and Social Care Act 2012.

(12) [1986 c.46](#). Section 1A (disqualification undertakings) was inserted by section 6 of the Insolvency Act [2000 \(c.39\)](#).

(13) [S.I. 2002/3150 \(N.I. 4\)](#).

(14) [1986 c.45](#). Section 429(2) was amended by paragraph 15 of Schedule 23 to the Enterprise Act [2002 \(c.40\)](#).

(15) [2005 asp 10](#). Section 34 was amended by section 122 of the Public Services Reform (Scotland) Act [2010 \(asp 8\)](#).

(16) [1972 c. 70](#). Section 85 was modified by the Waste Regulation and Disposal (Authorities) Order 1985 ([S.I. 1985/1884](#)), article 10, Schedule 3; subsections (2A) and (2B) were inserted in relation to England by [S.I. 2001/2237](#), article 7(a), and in relation to Wales, by [S.I. 2002/808](#), article 7(a); sub-section (3) was amended in relation to England by [S.I. 2001/2237](#),

article 7(b), and in relation to Wales, by [S.I. 2002/808](#), article 7(b); subsection (3A) was inserted by the Local Government Act [2000 \(c. 22\)](#), section 107, Schedule 5, paragraph 9, and was amended in relation to England by [S.I. 2001/2237](#), article 7(c), and in relation to Wales, by [S.I. 2002/808](#), article 7(c); sub-sections (3B), (3C) and (3D) were inserted by the Local Government (Wales) Measure [2011 \(nawm 4\)](#), section 31; sub-section (4) was inserted by the Local Government Act [1985 \(c. 51\)](#), section 84, Schedule 14, paragraph 7, and was repealed in part by the Education Reform Act [1988 \(c. 40\)](#), section 237, Schedule 13, Part 1; the functions of the Secretary of State under section 85(3), so far as exercisable in relation to Wales, transferred to the National Assembly for Wales by the National Assembly for Wales (Transfer of Functions) Order 1999 ([S.I.1999/672](#)), article 2, Schedule 1; see the entry in Schedule 1 to that Order for the Local Government Act 1972. The functions were subsequently transferred to the Welsh Ministers by virtue of paragraph 30(1) of Schedule 11 to the Government of Wales Act [2006 \(c. 32\)](#).

(17) [2000 c.22](#). Section 78A was inserted and section 79 amended by the Local Government and Public Involvement in Health Act [2007 \(c.28\)](#), section 198. See section 76 of the Local Government Act 2000 for the function of case tribunals. Section 78A was repealed by the Localism Act [2011 \(c.20\)](#), section 237 and Part 5 of Schedule 25.

(18) [2011 c.20](#).

(19) [1973 c.65](#). Section 35 was amended by the Ethical Standards In Public Life etc. (Scotland) Act [2000 \(asp 7\)](#), section 29(1); the functions of the Secretary of State under section 35(3) transferred to the Scottish Ministers by virtue of section 53 of the Scotland Act [1998 \(c. 46\)](#).

(20) [2000 asp 7](#). Section 19 was amended by the Water Services etc. (Scotland) Act [2005 \(asp 3\)](#), section 32 and Schedule 5, paragraph 6(a). See section 8 of the Ethical Standards in Public Life etc. (Scotland) Act 2000 for the functions of the Standards Commission for Scotland.

(21) [2010 asp 8](#).

(22) [2006 c.47](#). Section 2 was amended by articles 3 and 4 of [S.I. 2012/3006](#).

(23) [2000 c.14](#). Section 14 was amended by paragraph 107 of Schedule 3 to the Adoption and Children Act [2002 \(c.38\)](#), paragraph 12 of Schedule 5 to the Health and Social Care Act [2008 \(c.14\)](#) and section 26 of the Children and Young Persons Act [2008 \(c.23\)](#).

(24) Section 15 was amended by paragraph 14 of Schedule 5 to Health and Social Care Act 2008 and section 102 of the Children and Families Act [2014 \(c.6\)](#).

(25) Section 32 was amended by paragraph 474 of Schedule 1 to [S.I. 2009/56](#).

(26) Section 19(1) was amended by section 86 of the Care Act [2014 \(c.23\)](#).

(27) Section 30 was amended by section 155 of the Health and Social Care Act [2012 \(c.7\)](#).

(28) [2002 c.17](#). Section 25(3) was amended by paragraph 17 of Schedule 10 to the Health and Social Care Act [2008 \(c.14\)](#), paragraph 10 of Schedule 4 to [S.I. 2010/231](#) and paragraph 56 of Schedule 15 to the Health and Social Care Act 2012.

(29) Section 56 was amended by regulation 232 of [S.I. 2007/3101](#) and paragraph 3 of Schedule 15(1) to the Health and Social Care Act 2012. Section 59 was amended by

paragraph 7 of Schedule 15(1) to the Health and Social Care Act 2012. Section 71 was amended by [S.I. 2007/3101](#) and paragraph 19 of Schedule 15(1) to the Health and Social Care Act 2012.

(30) [S.I. 2002/254](#). Article 5 was amended by [S.I. 2009/1182](#).

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