Reference Number: FOI202223/332
From: Private Individual

Date: 04 October 2022

Subject: Recruitment and Retention of Ex-Offenders

Following receipt of information from the GMC which confirms that a number of Doctors maintain their License and Registration, despite having been convicted of various Sex Offences, I am reaching out to NHS Trusts to obtain further information on this matter. The information I am requesting pertains to Recruitment and Retention policies and practices with respect to Doctors who have been cautioned or convicted of a Sex Offence.

Please can you provide the following information:

Q1 Your current policy for Recruitment and Selection of Ex-Offenders? (Link to relevant page is also suitable)

a. Specifically, how does this policy pertain to convicted Sex Offenders?

The GMC has previously indicated their intention to prevent convicted Sex Offenders from remaining on the medical register. At the time of stating this, they advised they were facing challenges with respect to how they might implement this at GMC and/or MPTS level due to potential perceived Human Rights violations for the relevant Sex Offenders. However, the GMC assured that NHS Trusts and bodies create their own Recruitment and Selection Policies and are able to make their own decisions with respect to the hiring and/or continued employment of such Doctors.

A1 Please see attached documents:

- Recruitment and Selection Policy - E2 DMS
- Recruitment and Selection Toolkit DMS

The Trust operates robust safer recruitment pre-employment checks in line with NHS Standards which would include detailed references, an enhanced DBS check with barred list checks for medics among others. In addition, we check the HPAN alert register, along with the professional registration status. These processes are regularly audited with no concerns raised around criminal records checks. Also we continue to review and develop our processes as updated advice and guidance is available.

a. The policy refers to criminal records and how we would address these. As a paediatric Trust all our staff are required to have enhanced DBS checks, and these are now repeated every 3 years for existing staff.

Q2 With this in mind, does the Trust have a view or stance on the hiring or continued employment of Doctors that have been convicted of Sex Offences?

a. If yes, what is this? If no, please elaborate.

I understand that where someone has a previous conviction, a 1:1 would often be set up to discuss this further.

A2 On employment, disclosure and/or DBS renewal, the Trust will review all relevant evidence to reach a decision about a professional's employment offer or ongoing employment. The safety and welfare of our patients and staff is of paramount importance.

Q3 What specific considerations are given in order to ascertain risk level?

A3 For any conviction, all relevant evidence is reviewed. As a children's hospital we care for Children and Young People and by extension, their families and we take that responsibility very seriously.

Q4 For those involved with this and the wider hiring of such persons, what training have they received in relation to Sex Offenders, Rehabilitation of Sex Offenders and/or Safeguarding and Sex Offenders in the workplace? (If any)

A4 Recruitment and selection training has been developed which covers the importance of pre-employment checks in addition to safeguarding training. A qualified, senior HR professional would be involved in any decision to provide advice.

Q5 Has the Trust ever employed a Doctor who has been cautioned or convicted of a Sex Offence?

a. If yes, were they subject to any restrictions or supervision, beyond the typical? E.g. the Trust decided to restrict their duties to X or that they would be closely supervised by Y.

A5 No

Q6 At this time, how many Doctors are employed by the Trust who have been convicted or cautioned of a Sex Offence?

A6 None

Q7 Who would be the most relevant point of contact?

a. Please include Name, Title and Email address (be it direct, a secretary or other most relevant contact)

A7 Please contact the Business HR team via askHR@alderhey.nhs.uk or 0151 293 3500. Therefore, a query could be escalated within the HR team or redirected to the most appropriate individual within the Trust, dependent on the circumstances of the query.

Alder Hey Children's
NHS Foundation Trust

E2 - RECRUITMENT & SELECTION POLICY

Version:	9
Name of ratifying committee:	People and Wellbeing Committee
Date ratified:	23/05/2022
Name of originator/author:	Katie Jones, HR Manager and Chloe McKay, Recruitment Lead
Name of approval committee:	Employment Policy Review Group
Date approved:	12/04/2022
Executive Sponsor:	Chief People Officer
Key search words:	Recruitment, Selection, DBS, E2
Date issued:	May 2022
Review date:	May 2025

respect excellence innovation together openness

Version Control, Review and Amendment Logs

Version Control Table				
Version	**Date**	**Author**	**Status**	**Comment**
9	May 2022	Katie Jones	Current	Update to policy to reflect the Trac Recruitment system and minor revisions
8.1	November 2021	Hellie Patterson Brown	Archived	Update to flexible working
8	September 2020	Hellie Patterson Brown	Archived	
7.1	April 2020	Sharon Owen	Archived	Extension approved due to COVID-19 pressures
7	July 2017	Sharon Owen	Archived	
6	February 2012	Jason Brennan	Archived	Minor revisions to reflect ISA status
5	February 2011	Rachel Patterson	Archived	Minor revisions to reflect CBU structure
4	November 2009	Vicki Wilson	Archived	
3	March 2008	Derek Greenslade	Archived	Recruitment Practices Policy
Policy for Protection of Children when Recruiting was created in June 2007, this in now incorporated within Version 4 of this policy				
2	October 2006	Derek Greenslade	Archived	
1	October 1996	Unknown	Archived	

Record of changes made to Recruitment and Selection Policy - Version 9			
Section Number	**Page Number**	**Change/s made**	**Reason for change**
N/A	N/A	Removed Quick Reference Guide – Recruitment Process	Included in the Recruitment and Selection toolkit
1	5	Trust is commitment to the principles of flexible working from day one of employment	To support cultural change
2.1	5	Amended The Director of Human Resources and Organisational Development to Chief People Officer	To reflect correct job title
2.2	5	Update to Line & Recruiting Managers Duties and Responsibilities	To reflect current practice
2.3	6	Update to HR & Recruitment Team Duties and Responsibilities	To reflect current practice

2.4	7	Amended the Equality, Diversity and Inclusion Manager to Head of Equality, Diversity and Inclusion	To reflect correct job title
5	7	Update to training to state that Recruiting Managers are encouraged to attend Recruitment and Selection training. For those who have not attended training they can access support from HR & Recruitment Team	To prevent delays in the Recruitment process
6.1	9	Update to At Risk Staff and Redeployment Register	To reflect current practice in line with the Trac system
6.3	9	Update to Secondments	To specify Internal Secondments
6.4	9	Inclusion of Term-Time Only posts	To give guidance regarding Term-Time Only posts and refer to Flexible Working Toolkit
6.5	10	Inclusion of Internal Vacancies	To highlight responsibilities under The Agency Worker Regulations 2010
6.6	10	Updates to Shortlisting	To reflect current practice in line with the Trac system
6.7	10	Updates to Interview	To reflect current practice in line with the Trac system and Recruitment KPIs
6.8	10	Updates to Reasonable Adjustments	To reflect current practice in line with the Trac system
6.9	10	Inclusion of Positive Action	To highlight responsibilities in relation to Equality Act 2010
7.0	11	Updates to Record Keeping	To ensure Recruiting Managers retain documentation confidentially rather than send to HR Recruitment Team
9	11	Updates to the Appointment to include all pre-employment checks	To include all relevant information regarding the appointment in one section and to reflect current practice in line with the Trac system and pre-employment checking process
11	14	Contract of Employment	Updated to include flexible working opportunities

Contents

1 Introduction and Purpose

Alder Hey Children's NHS Foundation Trust recognises that the staff are the most important and valuable resource and are committed to attracting and retaining a diverse and motivated workforce, with the right skills, values and knowledge to deliver world class care for patients.

The Trust's objective is to attract and recruit the highest calibre people through a fair and consistent recruitment process. All applicants will be recruited, fairly, equitably, efficiently and in accordance with the Trust Values, and current legislation, thus ensuring that the candidate experience is a positive one, irrespective of outcome.

The Trust supports using positive action where appropriate to ensure recruitment of a diverse and inclusive workforce that is represented against our local population statistics, and of the patients and families we care for.

The purpose of this policy is to set out the Trust's approach to Recruitment and Selection. To create a framework within which managers are able to recruit and select the right people, with the right skills, right values and right knowledge in the right place at the right time.

The Trust annually monitors and reports on data relating to Metric 2 of the Workforce Race Equality Standard (WRES) and Workforce Disability Equality Standard (WDES) and Metric 3.1 in the Equality Delivery System (EDS2)

An effective recruitment, selection and appointment process will also provide assurances to the Trust that only eligible candidates will be offered employment with the Trust. In addition to the NHS Safer recruitment checks for all staff, the Trust will employ fit and proper staff in accordance with the Health and Social Act 2008 (Regulated Activities) Regulation 2014: Regulation 19.

This policy will help to ensure recruiting managers adopt a fair and consistent approach when recruiting all roles, using valid assessment methods and selection techniques to identify the best candidate, in accordance with current employment legislation.

The Trust is committed to the principles of flexible working from day one of employment.

2 Duties and Responsibilities

- All those who have access to personal information throughout the course of the recruitment and selection process have a responsibility to ensure that this information is treated in a confidential manner in accordance with the General Data Protection Regulation 2018.

- DBS Disclosures will be managed in accordance with the DBS Code of Practice (2015). Breaches of confidentiality will be dealt with under the terms of the Trust's Disciplinary Policy.

2.1 Chief People Officer

To ensure that the recruitment and selection policy adheres to the principles in current employment and equality legislation and that the Trust meets its statutory employment duties.

To promote the fair and consistent application of this policy and to monitor its implementation to ensure procedures are managed fairly across the Trust.

2.2 Line & Recruiting Managers

It is the responsibility of managers to lead the recruitment process, including;

- Establishing a case of need for a new post and considering the best method of filling the vacancy.
- Reviewing all vacancies when they arise, by considering how best to fill that position, as 'like for like' replacements may not always be required. Consideration of skill mix and operational need within the team should always be assessed prior to advertising vacant positions.
- Obtaining financial approval for any recruitment activity.
- Collating and updating, where necessary, the relevant job description and person specification.
- Ensuring the role has been appropriately job matched/evaluated by a job evaluation panel. This applies to Agenda for Change posts only.
- Development of an appropriate advertisement for the position.
- To consider whether a vacant post could be recruited to as an Apprenticeship.
- Reviewing applications received to compile a shortlist of candidates to be invited for interview, including providing rationale for decisions made.
- Ensure the appropriateness of the interview panel (i.e. experience of interviewer, also if there is any conflict of interest). Recruiting managers must disclose or query concerns relating to conflicts of interest to the Recruitment Team.
- Informing the Recruitment Team of the outcome of any interview(s).
- Retention of associated documentation, ensuring all documentation is confidential and recorded in accordance with GDPR.
- Making verbal offers of employment and providing meaningful and constructive feedback to unsuccessful candidates.
- All stages of the recruitment and selection process should be carried out having due regard to current legislation. It is the responsibility of Recruiting Manager to have undertaken mandatory equality and diversity training in addition to Recruitment and Selection Training.
- To display and promote the Trust values at all times, throughout the interview process.
- To display and promote equality, diversity and inclusion and challenge behaviours that are not in keeping with this.
- To make reasonable adjustments for candidates that declare a disability (Equality Act, 2010), and ensure that these are in place as part of the recruitment and selection process. Recruiting Managers should speak to the Recruitment Team for further advice and guidance.

- To ensure decisions are made in line with this policy and adhere to legislative and national requirements including Agenda for Change or relevant medical and dental Terms and Conditions (plus locally appointed doctors terms and conditions) (excluding where individuals, such as Directors and very senior managers, are appointed to non-AfC contracts).
- To signpost candidates and new employees to the Access to Work scheme if they require reasonable adjustments to be made as a result of their disability (refer to Trust intranet site for further details regarding Access to Work Scheme).

2. 2 Human Resources – Recruitment Team

- To provide assistance, advice and support to Recruiting Managers throughout the recruitment and selection process.
- To ensure that those registered on the redeployment register are provided with information relating to vacancies where they meet the essential criteria for the post, prior to appointment to such vacancies.
- To promote the fair and consistent application of this policy and to monitor its implementation, to ensure procedures are managed fairly across the Trust.
- With the HR team, to provide Recruitment and Selection training and additional supporting information and guidance resources for Recruiting Mangers.
- To promote good equality, diversity, inclusion and human rights practice in the recruitment and selection process.
- To actively contribute to and support initiatives to improve outcomes around the accessibility of employment in the Trust and fairness of recruitment and selection processes. In so doing, work collaboratively with other departments/agencies.
- To review this policy and ensure it remains in line with legislation and national NHS guidelines.
- To support the Head of Equality, Diversity and Inclusion when applying for and maintaining accreditation from positive employment practice initiatives such as Disability Confident Status (further details can be found on the Government website).
- To administer the pre-employment checks for successful candidates.

2.3 Head of Equality, Diversity and Inclusion

- To provide appropriate advice and guidance to support Recruiting Managers and HR staff in relation to the Trust’s obligations where a candidate/new employee falls within the scope of the Equality Act 2010 and to ensure appropriate support and reasonable adjustments are put in place, as applicable.
- To ensure information in relation to the **Access to Work Scheme** is updated and communicated to HR and Recruiting Managers.
- To advise and support the Recruitment and Employment Services Team in ensuring that equality, diversity and human rights legislation and good practice is reflected in our recruitment and selection processes.

2.4 Occupational Health

Occupational Health is responsible for conducting pre-employment medical assessments for successful candidates (further information is detailed under point 9). In addition, they provide appropriate medical advice to support and enable reasonable adjustments to be made, as required, to enable staff to fulfil their role, in a safe a supportive manner.

3 Non-Employed Workers

For non-employed workers who are engaged in activity at Alder Hey (i.e students, honorary contracts and clinical attachments), the Trust also has an obligation to ensure that the workers comply with these standards and will be required to evidence its compliance with these.

4 Anti-Fraud, Bribery and Corruption

Provision of false information and documentation, including by omission, in the recruitment process is a known fraud risk facing NHS organisations. This could take the form of providing false information in relation to identity, right to work status, qualifications, references, previous experience, and/or a failure to disclose criminal convictions. It is essential that an applicant's information and documentation provided during the recruitment process is verified, as far as practicable, for authenticity.

Bribery and corruption are also risks associated with the recruitment process which could take the form of gifts, hospitality, nepotism and other conflicts of interest. All staff with a responsibility for any part of the recruitment process (but particularly interview and selection) must have due regard to these risks and ensure that any potential conflicts of interest are declared and managed appropriately, act in accordance with the Trust's Anti-Fraud, Bribery and Corruption Policy and ensure that suspicions are reported correctly.

Any concerns in relation to the above should be referred to the Trust's Anti-Fraud Specialist for advice, through the HR Team.

5 Training and Fair Processes

Regular recruitment and selection training will be made available for managers with responsibility for or involvement in recruitment and selection. All those involved in the recruitment process should ensure that they have received the appropriate training. It is encouraged that all Recruiting Managers complete the Recruitment and Selection training, especially those who act as the Chair of a panel. Recruitment and Selection workshop places can be booked via the Learning and Development Team.

For those Recruiting Managers who have yet to attend the Recruitment and Selection training, advice and guidance can be sought from the HR and Recruitment Team.

Panel members are responsible for declaring if they have a personal relationship or a conflict of interest with an applicant and must inform the HR team of this. In this situation, it may not be appropriate for them to participate in the interview, and the decision-making process. Advice should be taken from Human Resources, Recruitment Team in these instances.

6 The Selection Process

6.1 At Risk Staff and the Redeployment Register

Those staff declared ‘at risk’ and placed on the Trust redeployment register, will be notified of suitable vacancies via Trac offering them the opportunity to express interest in live vacancies prior to the appointment to such vacancies. Should an expression of interest be submitted, the HR Team will co-ordinate a meeting between for the employee and the Recruiting Manager to discuss suitability for the role. Where both parties agree that the post is suitable, the vacancy will be placed on hold and the employee will participate in a trial period before commencing a formal change to role and contractual details.

6.2 Fixed Term Vacancies

There may be occasions when a post will be recruited to a fixed term contract due to funding or training arrangements. This will not change the process requirements however the contract type must be made clear to all candidates throughout the process. A fixed term contract will be issued and ESR will be updated to reflect this. Line Managers are responsible for monitoring fixed term contracts and their expiry dates. The HR Team will regularly review fixed term contract expiry dates and provide managers with advice and guidance.

6.3 Internal Secondments

When advertising a fixed term position, the opportunity to advertise the post as an internal secondment opportunity may be considered. This is helpful in development and training opportunities or for short-term acting up development opportunities. Offering an internal secondment allows the employee to retain their substantive contract and terms while working in a fixed term position. Employees are required to request approval from their Line Manager before applying for an internal secondment, and when successful, both the Recruiting Manager and employee’s Line Manager, must sign a secondment agreement confirming the change to employment details.

A secondment letter will be issued to the employee confirming the agreed details and change to terms and ESR will be updated to reflect this. Line Managers are responsible for monitoring secondments and their expiry dates. The HR Team will regularly review secondment expiry dates and provide managers with advice and guidance

6.4 Term Time Only Posts

There may be occasions when a post will be recruited to on a term time only contract. This will not change the process requirements however the contract type must be made clear to all candidates throughout the process. A term time only contract will be issued and ESR will be updated to reflect this. Line Managers are responsible for monitoring term time only contracts. The HR Team can provide managers with advice and guidance.

For further information regarding term time only contracts, please see the Trust's Flexible Working Policy Toolkit.

6.5 Internal Vacancies

From time to time, there may be the need to advertise vacancies on an internal only basis. Where this is the case, those who are working at the Trust on an assignment will be eligible to apply for such vacancies where the 12-week minimum qualifying period is met in accordance with The Agency Worker Regulations 2010.

6.6 Shortlist

All candidates who meet the essential criteria of the person specification should be shortlisted. However, in a situation where it is impractical to interview all those shortlisted, desirable rated criteria should be used as a means of further selection. The person specification should not be altered in any way to fit any candidate's application.

In accordance with the Trust's commitment as a Disability Confident Employer, any candidate with a disability who meets the minimum essential criteria (in line with the job description and person specifications) for the post must be shortlisted and guaranteed an interview. Trac will highlight to managers any candidates who have declared a disability with the double tick icon.

6.7 Interviews

Once the shortlisting process has been completed, the Recruitment Team will be notified of those candidates who should be invited for interview via Trac. The Recruiting Manager will need to log into Trac to input the interview arrangements so that the Recruitment Team can finalise the interview set up and notify the candidates.

For those interviews held remotely, it is the responsibility of the Recruiting Manager to send out the MS Teams invite to the candidates.

The Recruiting Manager will need to give the Recruitment Team two days' notice ahead of giving *at least one weeks' notice* to all applicants invited to interview, where possible. Please see the Recruitment and Selection Toolkit which details the recruitment standard KPIs.

Rescheduling of interview dates and times is at the discretion of the Recruiting Manager.

The panel should include people who have shortlisted for the post along with the manager to whom the successful candidate will be immediately accountable. The number of people should normally be limited to three. However, there are known circumstances where this will vary, for example Consultant, some senior and bulk recruitment processes.

HR staff will not ordinarily sit on interview panels, unless there is a specific requirement to do so, for example, in an AAC panel.

All interviews should be structured, with applicants being asked the same questions and scored against consistent criteria. An exception to this may be where psychometric testing has suggested additional questions tailored to the candidate based on their assessment outputs.

The Recruiting Manager should familiarize themselves with the Recruitment and Selection Toolkit to ensure that their approach to the interview is in line with this.

6.8 Reasonable Adjustments at the Interview – Disability Confident Employer

Where the candidate has disclosed a disability or long-term health condition, Trac will ask the candidate if they have any special requirements at interview. The system will inform the Recruiting Manager of any reasonable adjustments that are required for these individuals in the recruitment process.

6.9 Positive Action

Positive action provisions mean that it is not unlawful discrimination to take special measures aimed at alleviating disadvantage or under-representation experienced by those with any of the protected characteristics in the Equality Act 2010.

Positive action in recruitment and promotion can be used where an employer can reasonably evidence that people with a protected characteristic are under-represented in the workforce, or suffer a disadvantage connected to that protected characteristic.

In practice it allows the Recruiting Manager faced with making a choice between two or more candidates who are of equal merit to take into consideration whether one is from a group that is disproportionately under-represented or otherwise disadvantaged within the workforce. This is sometimes called either a ‘tie-breaker’ or the ‘tipping point’ where it is a proportionate way of addressing the under-representation or disadvantage. Advice can be sought from the HR Team or Recruitment and Employment Services Lead.

7 Record Keeping

All panel members must ensure that a written record is made of each candidate, indicating, the candidates’ interview performance, which must be based solely on evidence from the application, interview (or assessment method) this should be recorded on the Trust’s interview assessment form. Reasons for selection/rejection of candidates must be clearly objectively justified and documented.

Copies of all confidential documentation relating to the unsuccessful candidates, must be retained by the Recruiting Manager for twelve months. After twelve months they can be confidentially destroyed.

8 Additional Selection Processes

Where it is identified that a selection interview will not sufficiently confirm the skills and abilities detailed in the person specification, managers may choose to use additional selection methods, such as assessment centres, presentations, and psychometric/written assessments. It is expected that for Senior Management/Consultant positions that a form of psychometrics and/or assessment center, a focus group and a presentation are undertaken in addition to a panel interview. HR advice can be sought as needed.

9 Appointment

Once a decision has been made, it is important that the successful candidate is contacted personally and at the earliest opportunity, so that a verbal conditional offer of employment can be made. This should be done by telephone but should then be confirmed in writing by the Recruitment and Employment Services Team once Trac has been updated, or the team notified (i.e. for board level recruitment).

<u>The manager must provide constructive and meaningful feedback, to all unsuccessful candidates, in a timely manner, based on the notes taken at interview, by the panel.</u>

9.1 Making the appointment

Offers of employment are made on a conditional basis as they are subject to satisfactory NHS safer recruitment pre-employment checks, including verification of identity, right to work, references, qualifications, professional registration (where appropriate), a Disclosure and Barring Service (DBS) check and Occupational Health check. Candidates must be advised that offers are conditional until all satisfactory checks are received. All pre-employment checks are co-ordinated by the Recruitment and Employment Services Team and include the following:

- **Identity Check**

Verification of identity checks are designed to determine that the identity is genuine and relates to a real person and establish that the individual owns and is rightfully using that identity. Applicants must provide acceptable documents containing their photograph, such as a passport or UK driving license, and acceptable documents providing their current address.

- **Professional Registration and Qualification Check**

All successful candidates who have a professional registration with a licensing or regulatory body in the UK or another country, relevant to their role are required to provide documentary evidence of the registration at interview. The Recruitment Team will check with the relevant regulatory body (e.g. GMC, NMC) to determine that the registration (including Specialist registration for substantive consultant appointments) is valid.

Evidence of relevant qualifications or professional memberships (as documented in the person specification for the role) are also required.

False claims regarding qualifications held will be treated seriously and may be subject to disciplinary action, including dismissal.

- **Work Health Assessment**

All NHS staff must have a work health assessment (sometimes referred to as a pre-placement health assessment), that adheres to equal opportunities legislation and good occupational health practice. The purpose of a health assessment is to assess whether new employees are fit to fulfil the contractual duties of the role and if any reasonable adjustments are required. Should Occupational Health disclose information that requires further consideration, the Recruitment Team will inform the Recruiting Manager.

- **Right to Work Check**

In accordance with the requirements of the Immigration legislation, proof is required of a prospective employee's eligibility to work in the UK. This is asked of all applicants regardless of nationality

- **Employment History and Reference Check**

The successful candidate is required to provide contact details of their referees covering the last three years of employment or education. Referees should be Line Managers, references from friends and/or family cannot be accepted. Verbal references can be obtained in exceptional circumstances. In this situation a member of the HR/Recruitment Team would complete a reference request form based on the information given verbally. Information contained in references is given in confidence and should not be discussed with the candidate unless consent is provided. Factual references will be sourced for all applicants using a factual reference request template. In addition to requesting factual references all reference requests received by Trust departments must be responded to using information only, a template is available from HR.

In some circumstances it is not possible to obtain references to cover the previous three years. Any such circumstances will be supported in accordance with the NHS Employers Employment History and Reference Checks document. Examples of alternatives include character references and reduced reference requirements for those moving to work at the Trust from another NHS organisation.

- **Criminal Record Checks (Disclosure and Barring Service (DBS) Check)**

All posts are subject to a DBS check and the cost will be recovered from the applicant's first months' salary. The option to spread the cost over 3 instalments is available and registration to the Update Service is recommended to all applicants.

All prospective employees will be required to complete a model declaration providing information about convictions, cautions and reprimands.

The Disclosure & Barring Service Check (DBS – formally the Criminal Records Bureau) provides access to information across England and Wales about criminal convictions and other police records to help employers make an informed decision when recruiting staff. Possession of a criminal conviction does not automatically make an applicant unsuitable for employment in the NHS. However, the Independent Safeguarding Authority (ISA) holds the power to bar people who have committed serious offences from working or engaging in regulated activity with children and/or vulnerable adults.

The Recruitment Team will monitor the progress of all DBS results. Should a DBS certificate contain information provided by the local Police force, the applicant will be contacted to arrange for the DBS certificate to be reviewed by the Recruitment Team. This is to ensure the information disclosed by the applicant on the model declaration is consistent.

A DBS meeting will take place with the Recruitment Manager, HR Business Partner and the candidate to consider the relevance of the information in relation to the post appointed to.

DBS checks will be completed every three years during employment with the Trust and the cost of these checks will be deducted from pay, employees will be given the opportunity to pay this over three installments.

Alternatively, if the employee/applicant is registered with the DBS Update Service at the same level required for their employment with the Trust there will no requirement to complete a DBS and no further cost applied by the Trust as payment will be paid directly to the DBS Update Service.

For those candidates relocating from overseas a police check from their country of residence will be required at least three months prior to the start date. Once relocated to the UK, a DBS check will be undertaken (as described above).

DBS Risk Assessments

Where all other recruitment checks are completed satisfactorily and the DBS is delayed, in <u>exceptional</u> circumstances a risk assessment may be undertaken by the Recruiting Manager and a HR Business Partner to commence a candidate prior to receipt of the DBS. A review of the risk and model declaration will be assessed to determine if the applicant can commence in post on a fully supervised basis in advance of a completed DBS check. The DBS status will be monitored on regular basis, on receipt of a satisfactory DBS outcome the agreed risk assessment terms will end and the employee will no longer require supervision.

For those candidates who have disclosed previous convictions a DBS Risk Assessment would not be considered appropriate.

9.2 Unsatisfactory pre-employment checks

Where satisfactory pre-employment checks are not received including references, DBS, verification of employment history and right to work documentation, the conditional offer made to the prospective employee will be withdrawn. Any withdrawal of an offer of employment must be approved by a HR Business Partner to ensure that there are adequate grounds for withdrawing the offer.

Where a prospective employee is found to have deliberately omitted, falsified, or misrepresented any information within their application, this may lead to withdrawal of the conditional offer of employment. Where an offer of employment is confirmed and/or an individual commences employment with the Trust, this could lead to withdrawal of the offer or disciplinary action, including termination of an individual's contract of employment.

10 Fit and Proper Persons Test

Directors and non-executive directors are required to demonstrate that they meet the fit and proper person requirements in accordance with the Health and Social Care Act 2008 (Regulation of Regulated Activities) Regulations 2014 as amended by the Health and Social Care Act 2008 (Regulation of Regulated Activities) (Amendment) Regulations 2014). The Fit and Proper Persons Test is undertaken in addition to all NHS Safer recruitment checks to ensure that Directors and non–executive directors:

- are of good character
- are physically and mentally fit
- hold the necessary qualifications
- have the required skills and experience for the role
- have undertaken a Disclosure & Barring Service check (DBS)
- can provide a record of their full employment history
- have undertaken insolvency and bankruptcy register checks
- have undertaken disqualified directors register checks

Appointees will also be asked to complete a Fit and Proper Persons self-declaration form and to it send to the Company Secretary. This declaration and associated checks will need to be completed annually once in post.

11 Contract of Employment and Flexible Working Opportunities

11.1 Contract of Employment

It is a legal requirement to ensure that a new member of staff receives a written Statement of Terms and Conditions of Service (Contract of Employment) no later than day one of employment. This will be sent out by the HR Department's Recruitment Team, along with their appointment letter.

11.2 Flexible Working Opportunities

The NHS Staff Council, on behalf of NHS trade unions and employers, has jointly agreed revisions to Section 33 of the NHS terms and conditions of service handbook, which will include a new day one right to request flexible working. The improvements are designed to support and facilitate a cultural change to ensure flexible working is available to all NHS staff.

Please refer to the Trust's Flexible Working Policy for further details.

12 Induction

Every new employee, including temporary, will be required to attend the Trust Corporate Induction and have a Local Induction delivered by their Line Manager. All new starters will be given a date to attend both Corporate Induction and Mandatory Training. Managers will be sent a copy of the letter so they are aware of the dates their new starter will need to be released. Please refer to the Trust's Induction Policy for further guidance. Local Induction checklists are provided to all new starters, the employee and line manager should work in partnership to sure the check list is completed.

13 Further Information

Relevant Legislation

- Equality Act 2010
- DBS Code of Practice Nov 2015
- General Data Protection Regulation 2018
- NHS Employers Pre-Employment Check Standards www.nhsemployers.org
- Immigration, Asylum, Nationality Act 2006
- Rehabilitation of Offenders 1974 (Exceptions Order) 1975
- The Safeguarding Vulnerable Groups Act 2006
- The Health and Social Care Act 2008 (Regulated Activities Regulations 2014)

Equality Analysis (EA) for Policies		
The Public Sector Equality Duty (section 149 of the Equality Act 2010) requires public authorities to have due regard for the for need to achieve the following objectives in carrying out their functions: a) Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010. b) Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it c) Foster good relations between persons who share a relevant protected characteristic and persons who do not share it. Please refer to Equality Analysis Step-Wise Guide for Policies when completing this form		
Policy Name	Recruitment and Selection	
Policy Overview	The policy will help to ensure managers adopt a fair and consistent approach when recruiting all roles, using valid assessment methods and selection techniques to identify the best candidate, in accordance with current employment Legislation.	
Relevant Changes (if any)	**Process –** updating the policy to reflect that Trac is the recruitment system in use as opposed to NHS jobs (as previous) **Duties and responsibilities –** updating these for Managers and the HR Recruitment team **Term-time contracts** – inclusion of information and reference to flexible working toolkit **Updates to record keeping** – records to be retained by Recruiting Manager as opposed to HR Recruitment Team	
Equality Relevance Select LOW, MEDIUM or HIGH	HIGH	
If the policy is LOW relevance, you **MUST** state the reasons here.	Click here to enter text.	
Form completed on:	Date: 05/04/2022	
Form completed by:	Name: Katie Jones	Job Title: HR Manager

If LOW relevance, proceed to Approval and Ratification Section. No further information required

If MEDIUM or HIGH Equality Relevance, complete all sections		
Equality Indicators Identify the equality indicators which will or could potentially be impacted by the policy and include details of how they may be impacted. (use **Equality Relevance** to assess the impact on	Protected Characteristic	Mitigation
	Age ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular

each protected characteristic)		characteristic unless they fall into the occupational requirement exception
	Disability ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular characteristic unless they fall into the occupational requirement. All candidates who are invited to interview are given the opportunity the disclose their requirement for specific adjustments to support their needs during interview and commencement. The Trust annually monitors and reports on data relating to Metric 2 of the Workforce Race Equality Standard (WRES) and Workforce Disability Equality Standard (WDES) and Metric 3.1 in the Equality Delivery System (EDS2)
	Gender reassignment ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular characteristic unless they fall into the occupational requirement exception
	Marriage & Civil Partnership ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular characteristic unless they fall into the occupational requirement exception. All candidates who are invited to interview are given the opportunity the disclose their requirement for specific adjustments to support their needs during interview and commencement
	Pregnancy or Maternity ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular characteristic unless they fall into the

		occupational requirement. The policy recommends that interview dates should be rescheduled when an interview date falls at the same time as an antenatal appointment
	Race ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular characteristic unless they fall into the occupational requirement exception. We are under BAME represented in the workforce and promote that we welcome applications from BAME applicants. Furthermore, we ensure we apply positive action for those who are under represented in the workforce. The Trust annually monitors and reports on data relating to Metric 2 of the Workforce Race Equality Standard (WRES) and Workforce Disability Equality Standard (WDES) and Metric 3.1 in the Equality Delivery System (EDS2)
	Religion or Belief ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular characteristic unless they fall into the occupational requirement exception. The policy recommends that interview dates should be rescheduled when an interview date falls on a religious date
	Sex ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the requirement for a particular characteristic unless they fall into the occupational requirement exception
	Sexual Orientation ☑ How: Click here to enter text.	The recruitment and selection process aims to avoid discrimination to all applicants with protected characteristics by anonymising applicant data until an offer is made. Job descriptions cannot detail the

		requirement for a particular characteristic unless they fall into the occupational requirement exception
	Human Rights (FREDA principles) ☑ How: Click here to enter text.	The policy states throughout the recruitment and selection process the Trust aim to avoid discrimination to all protected characteristics
Equality Information & Gaps What equality information is available for protected groups affected by the policy? If none available, include steps to be taken to fill gaps.	TRAC and0 ESR are supported by HR who monitor all activity in line with this policy against all of the protected characteristics. The Trust has developed a strategy to increase the BAME profile due to BAME Under representation in the workforce The Trust provides an annual report and action plan in relation to the workforce race equality standard (WRES) and Workforce Disability Equality Standard (WDES). This includes the number applying, shortlisted and appointed for interview in these groups.	
Stakeholder Engagement What stakeholders are engaged to help understand the potential effects on protected groups? See **Gunning Principles** for public consultation requirements. **How has consultation influenced the policy?**	Trade Union Officials and Managers were consulted with during the writing and ratification of this Policy. Feedback from these groups was acted upon and the Policy was amended to reflect any comments made.	
Interdependency How will this affect other policies, projects, schemes from an equality perspective?	Click here to enter text.	
Public Sector Equality Duty Include a summary of how each of the PSED requirements have been considered in order to demonstrate compliance with the Act.	a) Eliminate discrimination, harassment, victimisation etc Applying Employment legislation and a fair and transparent selection process.	
	b) Advance equality of opportunity The Trust will continue to work with its BAME staff to consider how we can improve staff survey response to the belief that there is equality of opportunity to career progression and development as detailed in the WRES. The Trust has adopted the stepping into work programme to broaden the scope of employment opportunities.	
	c) Foster good relations The Trust listens to suggestions and recommendations of BAME staff through the BAME network	
	Has the Public Sector Equality Duty been met? Yes ☒ No ☐	
Monitoring Include details of how the equality impact will be monitored.	This Policy is monitored centrally within HR against all of the protected characteristics to ensure it is not skewed in any way and does not discriminate against any minority group. If this is ever found to be the case following data analysis, the Policy would be reviewed, and provisions would be put in place to mitigate against any further issues.	

<table>
<tr><td></td><td colspan="2">The policy will be reviewed again in three years' time as per standard procedure. The Trust monitors recruitment data through the WRES, WDES and EDS2. This information and any accompanying action plans is published annually on the internet.</td></tr>
<tr><td rowspan="2">Review of Equality Analysis
(if indicated)</td><td colspan="2">Rationale for review: Click here to enter text.</td></tr>
<tr><td>Changes made: Click here to enter text.</td><td>Reason for change: Click here to enter text.</td></tr>
</table>

If **MEDIUM** or **HIGH r**elevance, the EA should be reviewed annually. Complete Approval and Ratification Section.

Approval & Ratification of Equality Analysis		
Policy Author:	Name: Katie Jones	Job title: HR Manager
Approval Committee:	Employment Policy Review Group	Date approved: 11/04/2022
Ratification Committee:	People and Wellbeing Committee	Date ratified: 23/05/2022
Person to Review Equality Analysis:	Name: Katie Jones	Review Date: 23/11/2023
Comments:	Click here to enter text.	

ALDER HEY CHILDRENS NHS FOUNDATION TRUST
RECRUITMENT AND SELECTION TOOLKIT

Updated May 2022

Contents

1. Introduction

The Handbook has been designed for use as a practical guide for those involved in the recruitment, selection and appointment process.

2. Recruitment and Selection Process

For further information, helpful guides, job description templates and FAQs, please see http://intranet/WLAH/SitePages/Recruiting%20Managers%20Information.aspx

2.1 Vacancy arises

A vacancy can be created by an individual leaving their current post or when a new post is created due to a service development or change.

If the vacancy has arisen following the resignation of an existing employee, ensure that the appropriate procedure has been followed:

- Correct notice period identified and agreed with employee
- Outstanding holiday or other entitlements discussed and agreed with employee
- Forwarding address obtained
- Complete an electronic termination form as soon as you receive notice from your staff member, this will enable the Employment Services and Payroll teams to action on ESR and avoid overpayments. A link to the exit interview will then be issued to the employee to ask for feedback regarding their experience of working at Alder Hey.

2.2 Consider the options

Although it is tempting to fill any vacancy without delay, now is an ideal time to review existing staffing arrangements and take stock of present or future demands on the service. By considering options now, opportunities may be provided for other members of staff, or for different ways of working. Points to consider:

- Do you need to fill the vacancy?
- Can other staff undertake the job?
- Could you adapt the hours/responsibilities to meet current/future service requirements?
- Is there a high turnover? If so, investigate the reasons, do you need to address any issues?

- Should you consult other staff/departments about how your service is run?
- Consider information received in the exit interview questionnaire and/or discuss with the employee who is leaving if they have ideas for improvement for the replacement post. Please liaise with HR in relation to exit interview feedback for those interviews that have been completed by the employee online.

2.3 Review the job description & person specification

Do not automatically use the current job description without reviewing it first.

A job description describes the duties and responsibilities which comprise the job. The Trust has a standard template Job Description (JD) and Person Specification (PS), the blank template can be found on:
http://intranet/WLAH/SitePages/Recruiting%20Managers%20Information.aspx.
The template includes all the required information, including Trust standard paragraphs which apply to all postholders. Please note Medical Consultant Job Descriptions and Person Specifications are subject to approval by the Royal College

You may already have a JD and PS, however, please check to ensure it is on the latest JD & PS template, this will ensure the latest general duties and safe-guarding governance is included and will help create a standard throughout the Trust. Furthermore, you should ensure that the JD and PS is the version that was approved via the Agenda for Change process and no changes have been made to it.

Where you are creating a new JD and PS, please share the first draft of the JD with your HR Representative. They will be able to review the content and give advice regarding the job evaluation process. All jobs that require job evaluation are listed for an Agenda for Change Job Evaluation Matching panel. It can take time to complete this process. Therefore, **please ensure that you engage in these conversations in a timely manner to prevent unnecessary delay.**

Please note - setting unnecessary standards for qualifications, experience or personal qualities may indirectly and therefore unfairly discriminate against minority racial groups, one sex, young or mature applicants or people with disabilities. Therefore, be careful with the wording you use to ensure it does not unfairly discriminate against anyone on the grounds of ethnicity, age, sex, sexual orientation, etc.

When considering the level of experience the successful postholder should have, think about the specific experience they require in order to meet the duties and responsibilities of the job description. It can be considered discrimination to specify number of years' experience, therefore, identify the experience should have in comparison to someone at a different band e.g. post graduate experience, experience of managing a team, experience at Band 6. For further guidance in relation to this, please contact your HR representative.

For further information, please refer to the Trust's **Equality, Diversity and Human Rights Policy** (see on DMS).

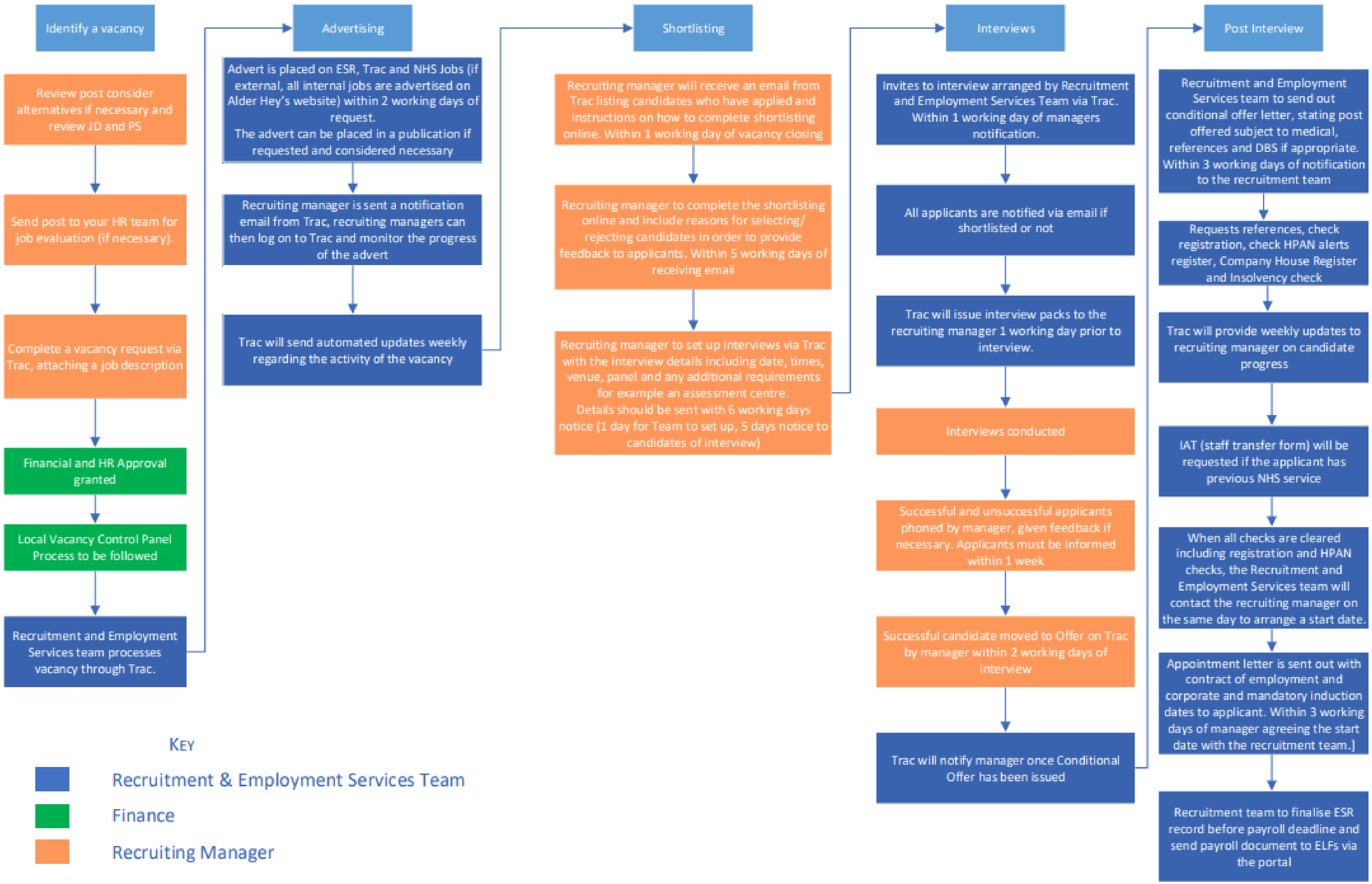
When setting criteria consider how each one will be measured or identified at the shortlisting/interview stage e.g. from the application form, original qualification certificates, proof of registration, presentation, test, interview, references, etc. You may be asked to justify and provide evidence of your shortlisting/interview decision based on this information.

The use of a person specification as a basis for the interview reminds the shortlisting/interview panel to be as realistic, systematic and objective as possible during the selection process to ensure the process is as fair as possible and avoids a claim of bias and/or unlawful prejudice

2.4 Vacancy approval

Once you have decided to recruit you should follow the appropriate recruitment process as detailed in the following flow charts.

Recruitment Process



My Alder Hey. My Values.

3. Consultant Recruitment Process

disability confident EMPLOYER

4. Short-listing

The Shortlisting Panel are unable to access all identifying and equal opportunities information. This is to ensure all candidates are shortlisted based on their qualifications, skills and experience.

When reviewing applications, the Recruiting Manager must record the shortlisting decisions online in Trac. It is essential to record the shortlisting decision with an indication as to why an application was shortlisted. This is essential as you may be asked to justify your decision should it be challenged.

If possible, the Recruiting Manager plus at least one other panel member will shortlist.

When shortlisting, the panel should use the essential criteria in the person specification against the information recorded on the application form in order to identify whether an applicant meets the essential criteria and should be shortlisted for interview.

If there are a high number of shortlisted applicants, once a shortlist has been undertaken against the essential criteria, shortlisting panels can then use the desirable criteria to undertake a second shortlist. Please note, that the shortlisting decision should be consistent against all applicants.

Applications will then be ranked in relation to their score. Applicants with a disability who have applied under the Guaranteed Interview Scheme and meet the minimum essential criteria on the person specification should be guaranteed an interview.

To support disabled people in employment the Trust operates the Guaranteed Interview Scheme, a national Government scheme operated by Department of Work and Pensions and recognised by the 'two tick' positive about disability symbol. Under the scheme, the Trust has made a commitment to support disabled candidates and employees. As part of the recruitment process, any candidate who has a disability and wishes to be considered under the scheme (as identified on the application form) and meets the minimum essential criteria on the person specification should be guaranteed an interview.

Once the Recruiting Manager has submitted the shortlist decision via Trac, they will complete the interview arrangements stage providing details of the interview arrangements including any assessments, tests or presentations the candidates will be required to undertake.

The Recruiting Manager will need to give the Recruitment Team two days' notice ahead of giving *at least one weeks' notice* to all applicants invited to interview, where possible. Please refer to the Recruitment KPIs as detailed in Appendix 1.

Emails will be sent via Trac to those candidates who have not been shortlisted for interview. Candidates who have not been shortlisted will be sent a regret email.

Selection Methods – Selecting the Best Candidates

This section outlines a number of selection methods that are available for use in order to ensure the recruitment process is as effective as possible by recruiting the best person for the job, including:

- Panel Interview
- Exercises e.g. work sampling and in-tray exercises
- Tests (e.g. group selection, psychometric testing)
- Presentation
- Informal meeting

It is the responsibility of the Recruiting Manager/Chair of the Panel to ensure the recruitment process is followed appropriately in line with this toolkit and the Trust's Recruitment and Selection Policy.

5.1 Panel Interview

Under no circumstances should you conduct the interview alone, you are very vulnerable to a discrimination claim. The panel should comprise of a minimum of 2 individuals, ideally 3, one of whom should be the Recruiting Manager (however, there are exceptions that may apply to this) who is responsible for ensuring the correct process is followed and acts as the Chair of the Panel.

When arranging an interview panel, you should also consider the make-up of the panel where possible, for example, consider diversity, gender, BAME representation and professional background.

It is encouraged that all Recruiting Managers complete the Recruitment and Selection training, especially those who act as the Chair of the Panel. Recruitment and Selection workshop places can be booked via the Learning and Development Team.

For those Recruiting Managers who have yet to attend the Recruitment and Selection training, advice and guidance can be sought from the HR and Recruitment Team.

Other panel members will depend on the level of the post and the skills required, however, it is important that, where possible, the postholder's immediate supervisor should be involved. The likelihood of the new candidate settling successfully into the organisation depends to a great extent on his or her immediate supervisor. However, there are known circumstances where this will vary, for example Consultant, some senior and bulk recruitment processes. You may also wish to interview with a colleague outside of the department or Division or, if appropriate, a professional external advisor, dependent on the role.

When considering the interview arrangements think about the venue and whether the location and room layout will be suitable. Is there adequate access for applicants with access requirements? Will applicants be able to find the venue? Do you need to inform reception? Do you need to provide refreshments? Will the room location ensure you do not get disturbed?

Interview Preparation

Good interviews are well prepared and conducted in an organised and thorough manner.

It is the interview panel's responsibility to devise interview questions appropriate to the role, based on the job description and person specification, and to ensure no inappropriate or discriminatory questions are asked. It is also a requirement for all interview panels to include questions on the required values and behaviours of potential new employees.

In preparation, the interview panel should plan and agree the interview questions and expected response, ideally before the interview day using the Interview Assessment Form (Template can be found in Appendix 3).

The person specification should be used as a guide to develop the interview questions, ensuring you cover all the essential criteria primarily. Allocate the subjects to be explored to panel members. When devising questions ensure you do not ask for personal information which is irrelevant to the job. The easiest way to find out about someone's underlying values is to ask them about how they behave in their everyday lives. People experience our values through our behaviours, and a good indicator of how people will behave in the future is how they have behaved in the past.

There are a number of skills that make an effective interviewer:

Recognising Valid Evidence

What is valid evidence?

This is when a candidate gives examples of things they have done setting out a circumstance, an action and a result (C.A.R.). You must try to obtain a complete example:

CIRCUMSTANCE: a recent situation where relevant behaviours were or could have been demonstrated e.g. a project or important task.

ACTION: taken by the candidate, not by others, "I" not "we" – this equates to the behaviour you are measuring.

RESULT: the outcome of the candidate's actions, whether positive or negative.

By collecting evidence of C.A.R.s you avoid invalid evidence such as vague statements, opinions, hypothetical situations and future intentions.

Advantages of using C.A.R. approach are:

- Clear and precise
- Easier to assess evidence
- Reduces faking
- Can assess difficult Dimensions
- Reduces bias in interviewer
- Candidates feel you have been thorough.

Opening the Interview

In opening the interview, the Chair of the panel should:

- Confirm the candidate's name, checking and noting identification documentation
- Confirm the vacancy that they have applied for, along with the hours of the post.
- Introduce the other panel members present.
- Give some basic information about the job, such as the duties and the salary range.
- Confirm the candidate's information provided in the application form – their qualifications and professional registration (if appropriate), current employment, previous employment and reasons for leaving, cautions and convictions and referee details. You should also review any gaps in employment and discuss these with the candidate.

  If there are any queries regarding the information provided this can then be clarified with the candidate at this stage.

Interview Questions – What Should You Ask?

In order to assist managers in preparing for interviews, competency-based questions should be prepared relating to the job description and person specification.

e.g. Collaboratively works with the patient, probes to find out their real, underlying needs and ensures these are met.

Starter Question: Tell me about a time when you have worked with a patient to find out their real underlying need?

Follow up Questions: What did you do? How? What did you do then? How did you ensure their needs were met? Who else was involved? How did the patient respond? Etc.

Each candidate should be asked the same starter questions in order to ensure consistency in approach. Questions should be suitable for all candidates. If you have any doubts about the suitability of a question, then it is probably best not to ask it.

For example:

"Have you any domestic commitments which might make it difficult to work split shifts?"

Panels are expected to explore areas of doubt and concern in order to discharge their overriding responsibility to make safe and competent appointments. Therefore, there may be additional follow up questions asked of individual candidates to achieve this.

To ensure that Recruiting Managers have an open, transparent and consistent recruitment process, clear and detailed notes must be taken during interviews to ensure that final decisions can be evidenced if challenged.

The interview should be brought to a close by giving the candidate the opportunity to ask any questions.

Under the Equality Act 2010 it is illegal to ask candidates any questions about their health, which includes amount of sickness, prior to an offer of employment being made. In some cases you can ask questions about disability or other protected characteristics. If you do this, you must follow the law. An example of this may include asking a job applicant if you need to make 'reasonable adjustments', i.e. making sure that a disabled person coming for interview can access your office.

Health/sickness history information will be obtained from employment references and Occupational Health clearance prior to appointment.

Each panel member should complete their own Interview Assessment Form recording the questions, the candidate's response and the score. This ensures the panel has an accurate and fair record of the interview process. It is not possible to take notes verbatim, however, try and take down the key points in the candidate's answer. The panel may decide to score candidates at the end of each interview or at the end of all interviews. These notes must be returned to the Recruiting Manager so that they can be retained confidentially for a period of 12 months. After which they can be confidentially destroyed.

It is important to remember that under the Data Protection Act and GDPR 2018 guidelines, candidates have the right to see the interview notes from each panel member, if requested. The notes should therefore be a fair and accurate record of the interview and comply with all relevant recruitment and selection legislation.

5.2 Exercises

Work Sampling

A work sample is a test that samples an aspect of the work the successful candidate will carry out if appointed to the role e.g. word processing exercise, numerical exercise, etc. Work samples are a direct way of measuring relevant job skills. A sample should replicate a real work task, as far as is practicable.

The following steps should be taken:

i. From the job description, identify a key task that will lend itself to the work sampling.
ii. Decide where and on what equipment the sample will take place (e.g. computer).
iii. Draw up rating scales, performance criteria or checklists to score or assess the candidates' performance.

In-Tray Exercises

These are usually simulations of a person's job. For example, a candidate is given a selection of routine correspondence and asked, within a set timeframe, to deal with the correspondence and make decisions based on the available information. An in-tray exercise helps in assessing qualities such as planning, organising, analysis and delegation.

Tests

The use of any test must be justified on the grounds that it is an effective way of assessing the extent to which candidates meet the person specification requirements. A test in itself cannot be the only determining criteria, it is only part of the selection process.

The most common tests used are:

- Mental Ability Tests
- Personality Profiling/Psychometric Testing

If you feel that recruitment to a particular post would be greatly enhanced or would lean to the use of a test, please contact Human Resources who can assist in identifying the most appropriate method. Specialist tests should only be administered by someone with the specialist skills required.

5.3 Presentation

You may wish the candidate to prepare a presentation on a topic that either demonstrates how they would approach a certain aspect of the role or how they see the particular role contributing. You should always make the topic and arrangements for presentation clear in the invite to interview. Ensure the appropriate equipment is available in the interview room as appropriate eg laptop with appropriate software, flip chart, etc. Presentations normally occur prior to the formal interview with questions from the panel immediately after.

5.4 Focus Group

The purpose of a focus group as part of the recruitment process is to provide a range of perspectives in relation to a candidate's suitability for the role, and how they demonstrate the Alder Hey values within the focus group. Feedback from focus groups is very useful to the interview panel as it gives a more rounded view of candidates, often identifying areas for further probing at interview.

What the focus group will be tasked with is to try to bring the best out of each candidate and to allow the candidates to learn more about the organisation through the focus group process.

The panel will take account of the outputs of focus groups, however it should be emphasised that the selection of a preferred candidate is the responsibility of the panel. It may not, in all cases, coincide with the preference of a particular focus group.

Broadly the interview panel will be looking at what the focus group thought of each candidate in relation to their ability to demonstrate the Alder Hey values, specifically in terms of:

- Their ability to take part in the discussion
- How they interacted with colleagues
- Did they seem to be someone who would ‘fit in’ and ‘get on’ with colleagues (ie culture and values ‘fit’)
- Their knowledge and understanding of a specific subject or theme
- Their knowledge specifically of the children’s health agenda
- Their possible credibility in the role

Clearly this is on the basis of every candidate having equal opportunity to take part and that everyone on each focus group is very aware of the Trust’s Equality & Diversity Policy.

Process

- The focus group will either be given a group facilitator or will select a chair for the session who will be responsible for collating the views of the group to feed back to the interview panel Chair.

- The focus group will be provided, or will choose themselves, a relevant subject area or theme on which to facilitate a discussion with each of the candidates, possibly with one or two additional questions that have been developed around this theme.

- All focus group members will have the opportunity to participate, and to engage with the candidate about the relevant subject matter.

- Each session will last 20 - 30 minutes and each candidate will be faced with the same theme and should be asked broadly the same follow-up questions, should this apply, to ensure consistency.

- The focus group must not replicate a formal panel interview; rather it should create a less formal environment in which a candidate is able to engage in a more fluid discussion with focus group members and that this should have mutual benefits for candidates and focus group members

- Proformas are provided to support feedback to the panel prior to the formal interviews taking place. Focus group members should think about the candidates' behaviour and responses in relation to the Alder Hey values and then rank the candidates in order of preference (eg, 1-most preferred candidate, 5 – least preferred) (as in Appendix 4).

- The proforma should clearly outline the reasons for this ranking decision using the Alder Hey values as a guide. Please remember that job applicants can ask to see all information written about them, should they wish, so please ensure your comments are factually based on what you actually see and hear in the focus group.

- *The proforma will also allow for the focus group to collate their feedback on candidate strengths, areas for development and suggested areas for the panel to probe.*

5.5 Children and Young Persons Panel

Alder Hey is a children and young persons organisation. Alder Hey has a vision to include youth voice at the heart of every aspect of the Trust. The Forum is a key element of the Trusts strategy to embed the views of children and young people within service development.

As a children and young persons organisation it is essential to learn from young people, to listen to their opinions and empower young people to play an active role in services that are for them and their peers.

Children and young people bring a different skill set to the interview panel than the professionals involved within the interviews. They often look for qualities in a candidate that professionals may not look for or see, and the young people can therefore help refine and improve the selection and recruitment process by adding their input.

When it comes to recruitment and selection of new members of staff, young people can often provide a different insight into the selection process. Young people often provide valuable insights into areas such as:

- Is the candidate child friendly?
- Does the candidate appear approachable?
- Would young people open-up to the candidate?
- Do young people feel the candidate is motivated to do the best for them?

Having the best quality candidate, due to involving young people in the interview process, can assist in improving outcomes for children and young people and the organisation.

There are a range of things to consider prior to engaging with the Forum to run a Focus group interview panel. Areas to consider include:

- When will the Focus group session take place? Currently all focus group sessions take place early evening as participating children and young people cannot miss School/College or University to undertake the Focus group sessions.
- Where will the interviews take place? - Currently all focus group interviews are held online via MS Teams. There are no plans to change this in the short-term, but longer term this may change.
- How many candidates are short-listed? This is important as it is difficult to interview more than 4 (5 maximum) people on a focus group interview. Any more than 4 or 5 candidates may mean that interviews need to be split over 2 evenings, and this would mean getting exactly the same panel of young people to run the interviews would be difficult (as they are not employed to do the interviews and most young people have a range of commitments through the week).
- Are you prepared for the feedback from the young people? Sometimes the young people's scoring would be very different to that of the adult interview panel. This could create challenges when selecting the correct candidate, so it's important to recognise that this may cause a challenge. That said, we believe that it is vitally important to recognise the young people's feedback and include this within your thinking when ultimately deciding on who is the best candidate for the role. The young people are aware that there are other factors that go into selection and recruitment, and that their say is not final, however it is important to communicate back to the young people the reasons why candidates are/are not selected following the interviews.
- How will you feedback to the young people following the interviews? - Please ensure that you report back on which candidate was successful following the interviews.
- Young people receive a £20 payment for undertaking the interviews. On average there are 4-5 young people on each panel. It is therefore a consideration if you can support payment for the interviews to take place.

What happens in a Forum focus group interview?

- The whole interview will be chaired and run by young people. Adult staff will be on the call for safeguarding reasons, but once this has been explained to the candidate the adult staff will turn their camera's off and young people will run the focus group interviews. The chair understands how it is their role to help the candidate feel relaxed, and to introduce each panel member to ask their question. At the end of the interview the chair will ask the candidate if they have any questions for the panel, and then following this they will close the interview and wish the candidate well with their application.

- Each focus group session will be booked in a half-hour slot. This will allow approx. 15-20 minutes for the interview and 10 minutes to score the candidate and provide feedback on strengths and weaknesses.
- Young people often select their own questions that they feel relate to the position the candidates are interviewing for. We also have a bank of set questions that the young people can select from (most of these questions have been devised by young people). These questions are broken down into themes such as knowledge and experience, role specific questions, value-based questions, motivation to undertake the role, fun questions and questions around personal interests.
- Wherever possible we include young people on the interview panel who have experience of the service for which the vacancy is being recruited for. An example of this was how a young person who had accessed speech and language therapy services for over 10 years participated within the recent recruitment for the head of speech and language services.
- Should the young persons focus group interview take place before the adult panel interviews, we can ask the young people to identify areas for further questioning if this would be deemed of benefit.
- The young people will score each candidate on a scale from 0-5, with Zero representing a very poor interview in which the candidate did not effectively answer questions and a score of 5 representing excellent answers that clearly evidenced the candidate's knowledge, experience, and ability. The young people will also provide additional contextualised feedback on each candidate.

What processes do I need to follow to engage with the Forum to request support to run a focus group session?

To book focus group interview sessions with young people from the Alder Hey Forum you will need to do the following:

- First discuss the request with the Youth Forum leads- Alex Jones/Jessica Robinson
- Complete a Forum engagement request form at least 3 weeks prior to the date that the interviews are due to take place. A link to the form can be found here: https://forms.office.com/Pages/ShareFormPage.aspx?id=G888R1c5sE6Cur6KaqH2SuHZU3SQ7Z9Lr5Lf-pZANKtUQUhWTUlFTDY5TTRKSDdUNjZMNks1UlVYRC4u&sharetoken=bFok2xAHBc7PVFd4e3Qt
- Forward Job Descriptions to Alex Jones/Jessica Robinson to enable these to be shared with the young people
- Assess whether you have budget to support payment of young people to undertake the interviews (£20 per participant)
- Make agreements with Alex Jones/Jessica Robinson around how feedback will be presented from the interviews

Reporting feedback from the interview

- Following the completion of interviews the Forum lead will provide feedback and scoring details of the young person's focus group interviews.
- It is important that once a final decision has been made and the successful candidate has been informed that the information is relayed to the young people. Should there be a difference in who the young people classified as their preferred candidate to who the successful candidate was, it would be very beneficial to relay information as to the reasons why the successful candidate was chosen. This would very much help the young people understand the interview process in greater detail.

5.6 Informal Meeting/Visit

Candidates may wish to visit the unit/department prior to the interview. This is a good way of getting to know candidates while they are relaxed. Wherever possible try to see the candidate yourself and show them around. This also gives the candidate an opportunity to find out more information about the unit/department.

6. Decision Making

Immediately after the interview, each panel member should write up any appropriate notes on the candidates. These notes will help the final decision in discussions with panel members. The notes will also help to monitor the effectiveness and fairness of the recruitment and selection procedure and will be kept on the job file in case your reasons for appointment or non-appointment are challenged.

The Recruiting Manager should ask each panel member for their score of each candidate against the person specification. Once all scores have been taken, the panel should consider who, out of all the candidates, is appointable.

The Recruiting Manager must ensure decisions are based on the criteria in the Person Specification, avoiding any potentially discriminatory judgements. A preferred candidate must always meet the essential criteria of the Person Specification.

Once the decision has been made, the Recruiting Manager should summarise the reasons for appointing/not appointing. The interview assessment forms should be collected from each panel member. The Recruiting Manager should ensure they also record the reasons for appointment/non-appointment onto the interview assessment form.

If professional registration is required for the role, the Recruitment Team will verify the professional registration details with the relevant regulatory body (i.e via their website) as part of the pre-employment checks. Any offer made to the candidate is conditional upon satisfactory employment checks.

Following the final decision, the Recruiting Manager should contact all candidates to inform them of the outcome. When contacting the successful candidate the verbal offer should be subject to the relevant pre-employment clearances. The candidate should also be advised not to hand in their notice of termination (if applicable) until the Trust is in receipt of all pre-employment clearances.

All interview documentation should be retained confidentially by the Recruiting Manager for a period of 12 months. After which they can be confidentially destroyed.

It is not normal practice to send regret letters. When informing those who have been unsuccessful at interview of the outcome, be prepared to offer and provide feedback to them.

Salary Offered

Giving incremental credit without a good reason is contrary to the principle of equal pay within Agenda for Change.

In general new starters to the NHS should start on the bottom of the scale and work their way up. There are strict rules within the Agenda for Change Handbook regarding the incremental point to which an existing NHS employee is appointed on promotion.

Where staff from other NHS Trusts or from within the Trust move to another post on the same banding their salary remains the same with the same pay step date. There is no automatic right to move up the Agenda for Change Payscales on moving organisation or department where the role is banded the same. The Recruitment & Employment Services Team will request an Inter Authority Transfer (IAT), to review the individual's current pay and NHS service.

Where the Recruiting Manager wishes to make an exception to this process, they must discuss this with their HR Representative.

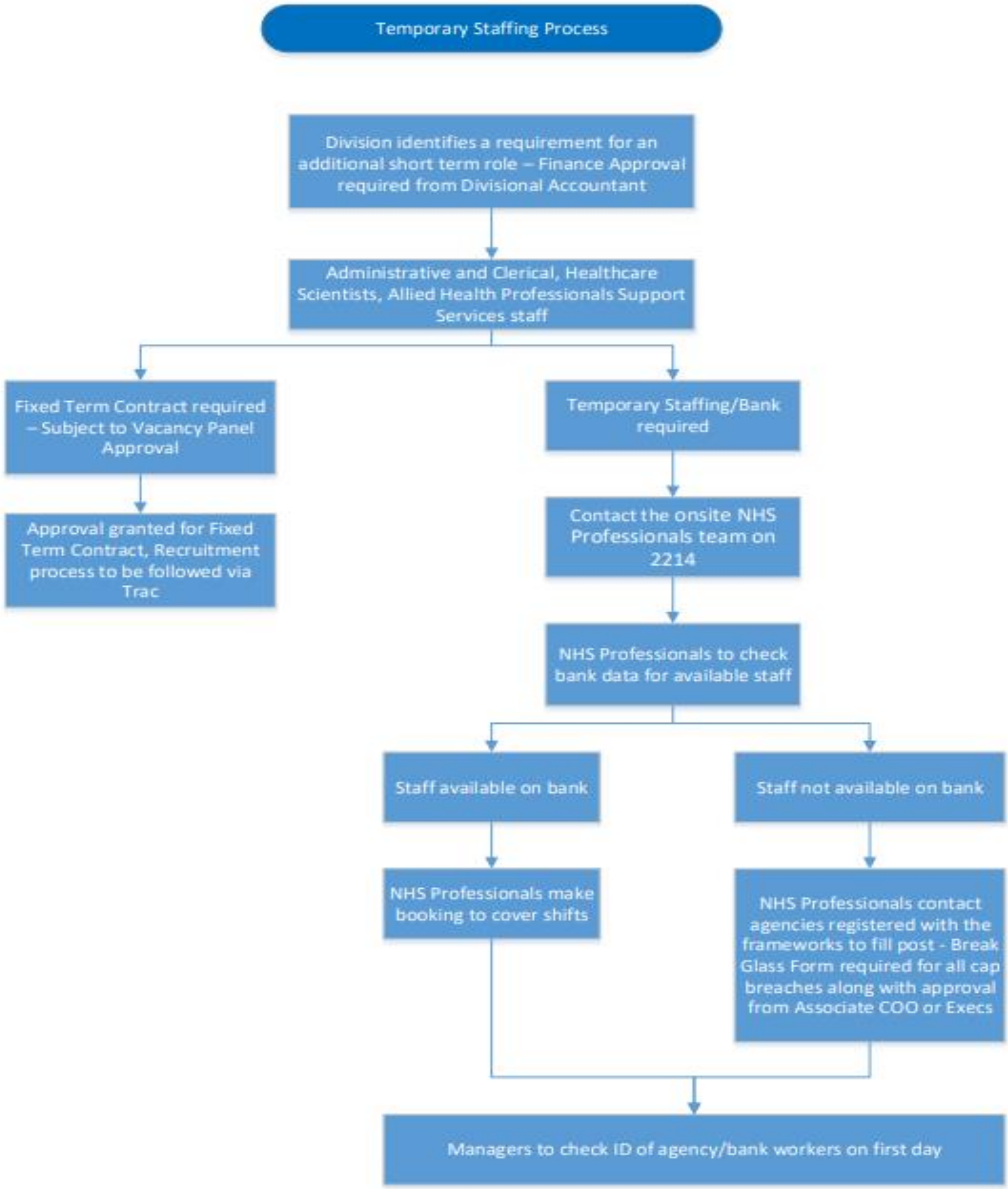
This permission must be sought and received prior to any conditional offer being made to the candidate. The starting salary agreement process must be followed and signed off by the Deputy Director of HR. The Recruiting Manager should contact their HR representative, who will complete the process. The Recruitment and Employment Services Team should be notified of the outcome.

Same Vacancy Within Three Months

If the same job becomes vacant within three months of the date of the interview of the previously advertised vacancy, it may be offered to the second choice from the original interviewees.

7. Temporary Staffing Process

The flow chart below demonstrates the temporary staffing process.



8. Agency/Private Company Confirmation of Checks

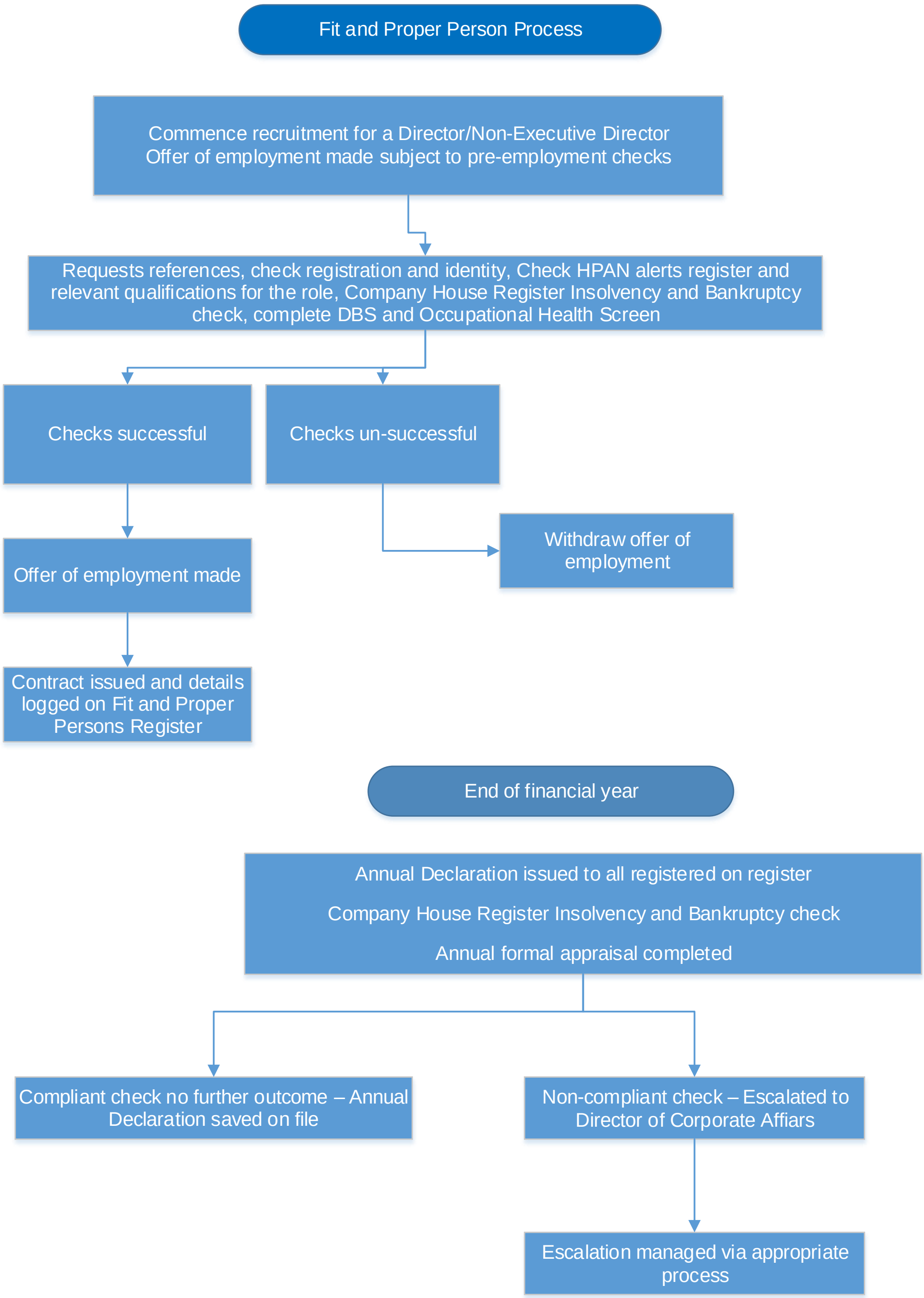
To be completed by employment agencies or private companies to confirm that pre-employment checks have been completed for a worker to be placed within Alder Hey.

Name of worker:	
Agency/Private Company name:	
Agency Representative/Package Manager:	
Alder Hey Ward Manager:	
Department at Alder Hey:	

Enhanced with barred DBS reference number:	
ID and Right to work checked:	Yes/No
Occupational Health Clearance inclusive of MMR x 2, History of chicken pox reviewed and BCG scar	Yes/No *Please: Hep B is advisory to all staff providing care to patients*.
Satisfactory references received:	
Start date:	
End date:	
I confirm that the following checks have been completed by my organisation to enable the above worker to be placed in Alder Hey for the duration of time detailed:	Name: Signature: Date:
I confirm as Ward Manager/Alder Hey Employee that agreement is in place for the named person to have access to wards for the duration of time detailed.	Name: Signature: Date:

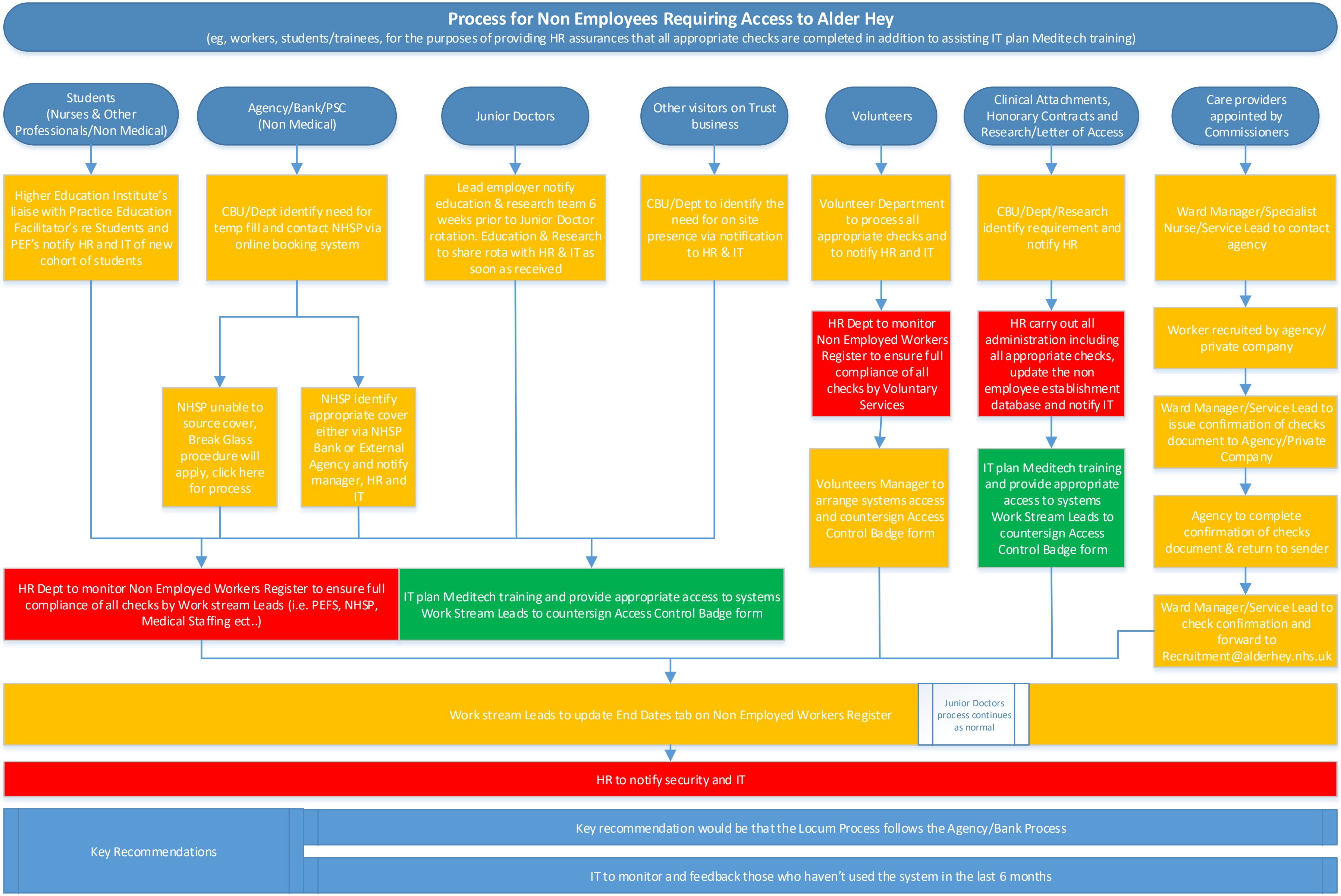
To be returned to Recruitment@alderhey.nhs.uk by the approving manager employed in Alder Hey

9. Fit and Proper Person Process



My Alder Hey. My Values.

10. Process for Non Employees Requiring Access to Alder Hey

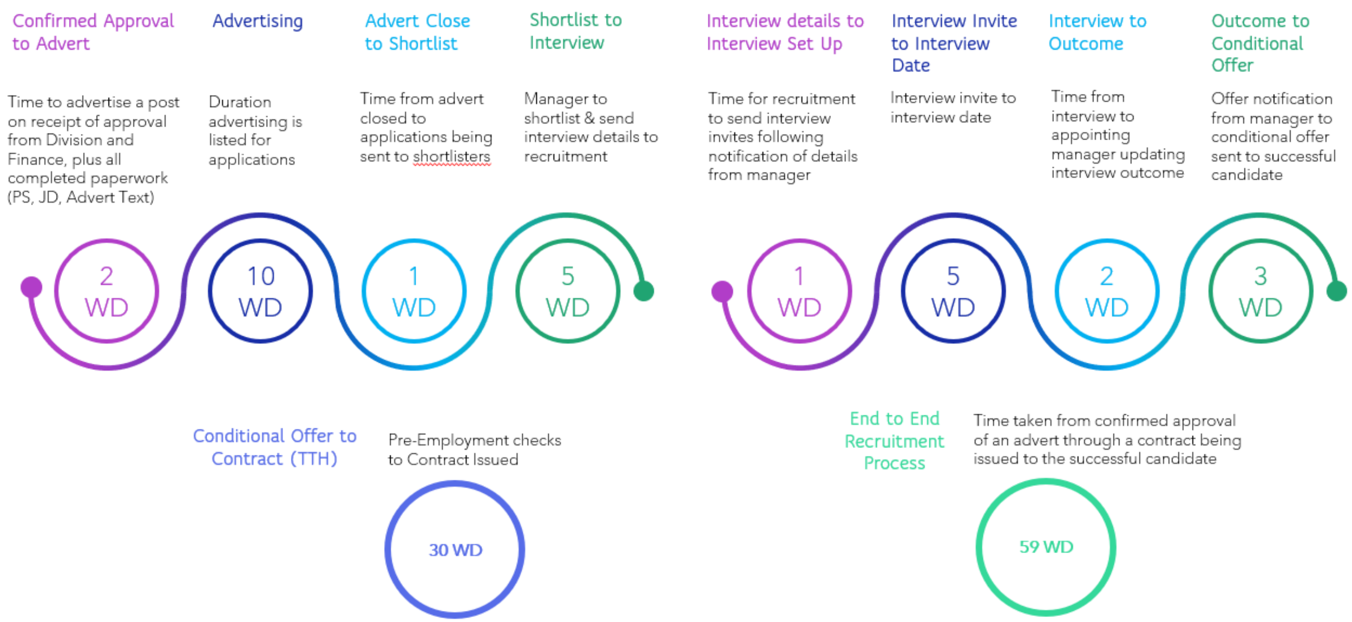


My Alder Hey. My Values.

Appendix 1 Recruitment KPIs

ALDER HEY RECRUITMENT KPI FROM 1ST MAY 2022

WD = WORKING DAY



My Alder Hey. My Values.

disability confident EMPLOYER

Appendix 2 Consultant Interview Scoring Form

Candidate		**Panel Member**	

Person Specification Criteria Reference	Questions relating to Person Specification	Evidence (i.e. notes on the candidates response to the question, and panel members comments on the quality of the response)	Score 0 - 4
1/ Qualifications/ Training/ Education			
2/ Experience and Knowledge for this role			
3/ Teaching, training and research: Skills and Abilities			
4/ Governance and Quality: professional and Personal Qualities			
5/ Leadership qualities and service development			
6/ Knowledge of wider NHS			

7/ Communication skills			

Total marks		**Name of Panel Member**	
Signature of Panel Member			

Scoring Criteria
0. = No evidence to match criteria
1 = little evidence to support criteria
2. = Some evidence to support criteria.
3. = Strong evidence presented - partially matches criteria
4. = Evidence presented - fully matches criteria

Appendix 3 INTERVIEW ASSESSMENT FORM

Post		**Ref**	
Candidate		**Date**	
Panel			

Criteria (based on Person Specification)	Essential/Desirable	Score 0-6 (see matrix)	Evidence/Comments

Total Score

1 Overall Assessment

(Briefly state reasons for decision)	
Successful	**Unsuccessful**

Signature of Panel Members		**Date**	

Complete 1 form for each candidate; send this form and ALL notes from interview back to Recruitment and Employment Services.

Score Matrix

	Essential	Desirable
Criteria met, and sufficient evidence given	6	5
Criteria partly met, some evidence given	4	3
Criteria partly met, limited evidence given	2	1
Criteria not met, no evidence given	0	0

My Alder Hey. My Values.

disability confident EMPLOYER

Appendix 4 Focus Group feedback form

Focus Group –

Discussion brief:

Candidate:

What are your observations on how the candidate reflects and draws upon their experience (their role/s, leadership, employer-type)?
What have you learnt from interacting with this candidate (their strengths etc.)? What key messages is the candidate getting across?

How would you categorise the candidate's style/communications skills? (e.g. dynamic, motivational, inspirational, quiet, listening, articulate)
What is not being said, that you would have expected?
Any areas for consideration and exploration?

Appendix 5 Writing Interview Questions

Job interviews can cause nervousness or a little anxiety in the most confident of candidates, as well as for the interview panel!

After the introductions have been completed and to help candidates settle any nerves they may have during the interview, start the interview by asking the candidate questions on a subject they will know a lot about; themselves! Questions to consider using at the start of the interview could be:

- Briefly tell me about your experience that is relevant to this role…
- Tell me about why you have applied for this role….
- Tell me why you want to work at Alder Hey ……
- Tell me what you know about Alder Hey …….

When developing questions to assess the candidates skills, knowledge and experience that will be relevant to the role they have applied for, ensure questions are **CLEAR** and **CONCISE**.

Try to ask questions that allow the candidate to provide a detailed response, rather than simply answer "yes", "no" or "don't know". For example, instead of asking a candidate "do you have experience of managing a team?", consider rephrasing as:

- Please provide me with an example of when you have managed a team during a challenging time?
- Tell me about your experience managing a team that what challenging.

If a question has several parts to it, ask them sequentially after the "main" question has been responded to, rather than bombarding the candidate with all question parts at once. Consider starting by asking questions such as:

- Please provide me with an example of how you managed a set deadline that you could not meet.
- Tell me about a time when you prioritised your workload and had to prioritise one task only.

Then following up with probing questions if the interview panel feel that further information is needed from the candidate, for example:

- What did you learn from this experience?
- What would you do differently if faced with this situation again?
- What actions did you personally take?

Rather than asking:

- "Please give an example of when you were given a task that you could not complete within a set deadline. How did you manage this? How did you communicate that you would not meet the deadline? How was this received? What would you do differently if you were in this situation again?"

Using this style of question during an interview can confuse a candidate or can cause a candidate undue pressure as they may not be able to remember all parts of the question in their answer.

Please remember to ask all candidates being interviewed for the same role, the same “main” questions, to enable a fair and equitable interview process. It is acceptable for the interview panel to ask different probing questions to different candidates to try and obtain a full answer to the question being asked.

Plan time into the interview to allow the candidate an opportunity to ask the interview panel questions. The interview is an opportunity for Recruiting Managers to assess the candidates suitability for their role; it is also an opportunity for the candidate to determine whether they want to work within the department as well as the Trust.

Please **do not** ask questions about protected characteristics that could discriminate against candidates. For example, it is not appropriate at interview to ask a candidate about any long standing health conditions they may have or what their birth gender is.

Please see over the page for some example questions.

Basic Interview Questions:

- Tell me about yourself and your experience.
- What are your strengths?
- What are your weaknesses?
- Why do you want this job?
- What attracted you to Alder Hey?
- What do you know about Alder Hey?
- Do you have any questions for the panel?

Behavioural Interview Questions:

- What was the last project you led, and what was the outcome?
- Give me an example of a time that you felt you went above and beyond the call of duty at work.
- Can you describe a time when your work was criticized?
- Have you ever been on a team where someone was not pulling their weight? How did you handle it?
- Tell me about a time when you had to give someone difficult feedback. How did you handle it?
- What is your greatest failure, and what did you learn from it?
- If I were your supervisor and asked you to do something that you disagreed with, what would you do?
- What was the most difficult period in your life, and how did you deal with it?
- Give me an example of a time you did something wrong. How did you handle it?
- Tell me about a time where you had to deal with conflict on the job.
- What's the most difficult decision you've made in the last two years and how did you come to that decision?
- Describe how you would handle a situation if you were required to finish multiple tasks by the end of the day, and there was no conceivable way that you could finish them.

Career Development Questions:

- What are you looking for in terms of career development?
- How do you want to improve yourself in the next year?
- What kind of goals would you have in mind if you got this job?

Getting Started Questions:

- How would you go about establishing your credibility quickly with the team?
- How long will it take for you to make a significant contribution?
- What do you see yourself doing within the first 30 days of this job?
- If selected for this position, can you describe your strategy for the first 90 days?