RECRUITMENT AND SELECTION PROCEDURES

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1.0 *INTRODUCTION*

1.1 The ability of the Southern Health & Social Care Trust (hereafter referred to as 'The Trust') to consistently provide high quality patient care is dependent upon the recruitment and selection of employees who are well matched to jobs and committed to the success of the Trust.

1.2 Effective recruitment and selection will result in an effective and efficient workforce and will contribute to a reduction in the turnover of staff. It is therefore important to ensure that the recruitment and selection process is treated with the respect it deserves. Inevitably this requires time and effort to be put into the process but this will be time well spent and will significantly contribute to the reduction in any potential complaints.

1.3 These procedures set out the process for the recruitment and selection of all staff to the Trust. They are designed to;

- ensure the Trust meets all its legal obligations[1] as a minimum to ensure equality of opportunity;
- ensure that, the person most suited to the job is appointed solely on the basis of merit.
- ensure all those involved in recruitment and selection have clear procedures to follow at each stage of the process;

1.4 The recruitment process is often the first experience a person has of the Trust. It is important that we make this a positive experience, whether they are successful or not in getting the job. We can make the experience a positive one by having panel members who are well trained and possess the skills and knowledge to conduct a well organised selection process, supported appropriately by the Recruitment & Selection (R&S) Service.

2.0 SCOPE OF PROCEDURES

2.1 These procedures apply to all appointments to the Trust and should be read in conjunction with other relevant documents including;

[1] *The legislation underpinning the R&S process is described in Appendix 1 of this document.*

- Any circular, guidance or legislation related to the recruitment & selection process in general specifically to include The Health & Social Services Trusts (Membership and Procedure) Regulations (NI) 1994 and for Medical & Dental staff specifically including The Health & Social Services Appointments of Consultants (NI) Regulations 1996;

- the Trusts protocol for Cyclical Recruitment & Waiting List Management;

- the Trusts Advertising Procedure;

- the Trusts Management of Change Framework;

- the Trusts Guidance & Procedures on the prevention of Illegal Working and Employment of Migrant Workers;

- the Trusts Protocols for Staff Seconded to or employed in Training Posts

- the Trusts Protocols for Criminal Record Checking Managed by the Recruitment & Selection Service[2] .

3.0 GENERAL PRINCIPLES AND KEY COMPONENTS OF THE RECRUITMENT & SELECTION PROCESS

3.1 The Recruitment & Selection process will be based on the requirements of the Job and in particular will refer to the Criteria stated in the related Personnel Specification.

3.2 For Senior Posts, the criteria / approach to interviews may include elements of a competency-based approach[3]. Where this approach is to be used during the interview process applicants must be advised accordingly in advance.

3.3 It is a requirement that all panel members are appropriately trained in the area of Recruitment & Selection including the requirements of the legislation relating to equality of opportunity and are conversant with the Trust's Recruitment and Selection procedure.

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[2] *This document remains in development at the time of writing these procedures.*

[3] *Competency-based recruitment may be applied to senior management appointments using the NHS Leadership Qualities Framework. Competency-based selection is based on the premise that past performance is the best indicator of how someone will perform in a similar situation in the future. A selection panel will therefore be looking for evidence through examples of past behaviours, in certain situations or conditions, which provides the panel with firm evidence that the applicant has the necessary qualities to succeed in the post applied for.*

3.4 All correspondence and information arising out of the recruitment and selection process must be treated by all concerned in strictest confidence. Any member of staff found to be in breach of this rule of confidentiality may be subject to disciplinary action. In particular the panel have a specific responsibility for the handling and storage of the file and all associated documentation while it is in their custody.

3.5 Any attempt by a candidate, either directly or indirectly, to influence any member of a panel to favour their application, other than through the legitimate selection process, will result in automatic disqualification of the candidate. Such activity is known as canvassing.

3.6 It is equally important that all panel members are absolutely impartial in their roles as panel members. For this reason we have a procedure whereby at shortlisting all panel members must declare whether or not they have any personal or private business relationship or connection with any of the applicants which could call into question the impartiality of that panel member.

3.7 The Recruitment & Selection Service has reviewed how best it can meet the demands of the organisation and on this basis has at the time of writing this document begun a process of change in the approach to Recruitment & Selection which will aim to move to more posts being recruited through the use of block recruitment, and effective waiting list management. This approach will avoid the need to react to individual vacancies as they arise and would support improved recruitment lead times.

3.8 To this end the Trust has identified a protocol for progressing Cyclical Recruitment and Waiting List Management. This sets out practical arrangements in relation to that activity. This procedure must therefore be read in conjunction with that document.

3.9 Whilst a significant proportion of advertisements in the future will be for the purpose of developing waiting lists for appointment, there will be many posts which will still require to be advertised on an individual basis. All of these processes however will be managed in the context of ongoing organisational change and for this reason this procedure must also be read in conjunction with the Trusts Advertisement Procedure.

3.10 Irrespective of whether a waiting list is being developed or a recruitment exercise is for an individual post, the overall process within the Trust can be divided into 4 main stages, all of which are closely inter-related. These are:

- Preparation

- Recruitment
- Selection
- Evaluation

3.11 This document details the procedures relating to these four stages of the process. An overview of the process may be seen at Appendix 3 – FC1. Ultimately the Trust's aim is to attract and retain people who are well matched to their specific jobs and who perform effectively and contribute positively to the organisation.

3.12 It is the Trust's belief that in order to appoint the best people to employment opportunities, appointees must be recruited from as wide and diverse a group of applicants as possible, and be selected strictly on the basis of merit when compared to the requirements of the post.

3.13 By adopting this approach to Recruitment and Selection, the Trust aims to promote equality of opportunity throughout the process to ensure the continued engagement of high calibre employees.

4.0 COMPLIANCE WITH THESE PROCEDURES

4.1 Non compliance, even unintentionally, can have serious implications which may include complaints of maladministration through the Commissioner of Complaints or Discrimination Claims normally directed through the Office of the Fair Employment and Industrial Tribunals. Dealing with such complaints can be very time consuming and costly, financially and emotionally, even if not upheld. Panel members are therefore reminded that these procedures must be afforded the respect they deserve.

4.2 Failure to comply with the procedures will be regarded as a serious offence and may lead to disciplinary action where appropriate.

5.0 VARIATIONS TO THE PROCEDURES

5.1 These procedures are intended to cover all recruitment and selection situations. However, from time to time, there may be exceptional circumstances which prohibit the strict adherence to these procedures. In such instances these procedures may be varied only when such will not unduly breach any employment law and / or the Trust's Equal Opportunities Policy. Any proposed variation must be discussed in detail with a member of the Senior Team within Recruitment & Selection (R&S) Services. A written record of the reasons for the variation and the alternative approach taken will be retained on the recruitment file. A central electronic record of all variations (known as Variation Orders) will also be retained.

INITIAL PREPARATIONS

The sample documentation, flowcharts, guidance etc as set out in the appendices of this document are that used for all non medical appointments. Whilst medical appointments will operate as close to these templates as possible some element of variation may be evident particularly but not exclusively for Medical Consultant Appointments.

6.0 WHAT TO DO WHEN A VACANCY ARISES

6.1 A vacancy can arise in many different ways. It may be because:

- Someone leaves;
- Organisational Change gives rise to a new post for new services, increased service demands or change of skill mix; OR
- Workforce planning identifies a need for new staff due to consideration of the existing workforce profile.

6.2 No matter what the reason, when a vacancy arises line managers **must** consider the following questions before the final decision to seek approval to recruit is taken:

- Is there a need to replace on a like for like basis or is there an opportunity to modernise services perhaps through new ways of working? For example;
  - *Could some of the tasks be eliminated if the work was organised or delivered differently?*
  - *Could the work be redistributed among remaining staff?*
  - *Would a change of skill mix be more appropriate?*
  - *Is there an opportunity to change working patterns to increase productivity?*
  - *Is the post still correctly banded?*
  - *How will any changes impact on existing staff?*
- Consideration should also be given to whether or not there are any local or regional workforce planning or training initiatives that need to be considered? For example;
  - *Is there a need to consider the vacancy for a commitment of employment already made to any individuals participating on a Trust or DHSSPS training initiative?*

7.0 THE DOCUMENTATION & APPROVAL PROCESS

7.1 If it is considered that recruitment is necessary, a number of important tasks must then be undertaken as follows:

- Review or development of a relevant Job Description[4];
- Review or development of a relevant Personnel Specification[4].
- In the instance of posts falling under the Agenda For Change Terms & Conditions, review or development of the KSF Outline for the post[4]
- In the instance of posts falling under the Medical & Dental Terms & Conditions review of the relevant Job Plan weekly schedule or work pattern.
- Approval to proceed to recruitment through the use of the Trusts Electronic Requisitioning System;

7.2 The Job Description, Personnel Specification and KSF Outline are all interlinked and provide the foundation for quality, fairness and equity throughout the process. The Job Description and Personnel Specification must be in place (and new posts appropriately banded) before any post can be advertised internally or externally. The e-requisitioning system will not permit a requisition to be forwarded for approval without attaching the final Job Description / Personnel Specification. At the time of writing, the KSF has not been fully implemented, however as the development of KSF Outlines progress they will become an integral part of the essential documentation.

7.2 Where the post is a replacement, the Job Description, Personnel Specification and KSF Outline should be reviewed to ensure they are still accurate and up-to-date. At the time of writing these procedures an electronic library[5] of approved documentation relating to posts falling within AFC Terms & Conditions of Service is being developed for use by managers across the organisation.

7.3 Where a post falls within AFC Terms & Conditions of Service, is new and does not exist anywhere in the Trust, the Job Description, and Personnel Specification MUST be forwarded to the Recruitment & Selection Service for Desktop Evaluation BEFORE commencing the approval process (the e-requisitioning system will not permit users to add a requisition where details of the banding cannot be completed). Where the post is new to a Department but does exist elsewhere within the Trust the original Job Description / Personnel Specification should be sourced by the manager and used without the need for further banding unless any changes are required in which case a further desktop evaluation must be carried out.

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[4] *The purpose and content of the Job Description, Personnel Specification and KSF together with associated guidance are detailed in Appendix 2 – MPG1 – MPG4.*

[5] *This library is currently being developed. In the future only JD/PS's contained within the Library as "approved" will be available for use by managers. Where a JD/PS does not exist or where a manager needs to amend an existing JD/PS, this will prompt the process for banding to be undertaken.*

7.4 Where the post is new and falls outside the AFC Terms & Conditions of Service the relevant grading will be applied in accordance with the type of post. Advice can be sought from the Recruitment & Selection Service as required.

7.5 All elements of the documentation will be shared with the prospective candidates as part of the application pack and therefore must be accurate and fully justifiable. Personnel Specifications will be reviewed by R&S Services before use to ensure they are consistent with the specification requirements for the level of post. Where standard specifications[6] are available these must be used. Any queries will be referred back to the requisitioner, which in turn will delay the recruitment process.

7.6 The selection panel will use the documentation as the basis of the assessment process.

7.7 Each recruitment file[7] will hold the related documentation and a copy of this will be transferred to the personal file of the successful applicant(s) to form part of their Contract of Employment.

7.8 All recruitment requests[8] must be properly authorized through the use of the e-requisitioning system which allows for authorised managers to raise a recruitment request which will move through their allocated approval pathway until it arrives with the R&S Service for action. Summary Flowcharts of the Approval Process may be seen in Appendix 3 – FC2 - FC4

7.9 A guidance document for managers setting out the details of the e-requisitioning system is available on the intranet under Human Resources/Recruitment/Policy and Procedures section.

7.10 Requisitioners will be able to track the progress of their request through the e-requisitioning system from it leaves them on the approval pathway right through until appointment of the successful applicant. A Summary Flowchart of this tracking can be seen in Appendix 3 – FC7.

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[6] *Until the Job Description Library is fully operational standard specifications will be placed in this area on the SHSCT Intranet to ensure consistency. These must be used unless there are very exceptional circumstances which can be objectively justified.*

[7] *Where a file is opened for the purposes of creating a waiting list only the generic JD/PS used during the recruitment exercise will be held on the Job File. The JD/PS issued to applicants at the actual time of appointment will be held on the relevant waiting list working file.*

[8] *In the instance of Junior Medical Staff to rotational posts which have not been filled through the normal channels co-ordinated by NIMDTA or posts where they arise from newly approved structures requiring population a requisition will be raised but the pathways will be different from the normal arrangements.*

PANEL ARRANGEMENTS

The sample documentation, flowcharts, guidance etc as set out in the appendices of this document are that used for all non medical appointments. Whilst medical appointments will operate as close to these templates as possible some element of variation may be evident particularly but not exclusively for Medical Consultant Appointments.

9.0 PANEL ARRANGEMENTS FOR SELECTION

When To Set Up A Panel

9.1 On receipt of an approved requisition the R&S Service will conduct a series of pre-advertisement checks which will include whether or not there is anyone within the organisation requiring redeployment, or whether a waiting list exists for the same or similar position i.e same band; same job family and same specification. The recruitment administration system will be updated accordingly so that the progress of a request can be viewed by the requisitioner through their e-requisitioning account.

9.2 In the event of proceeding to advertisement, membership of the selection panel for the selection process should be agreed as part of the preparation. The panel chairperson should advise the R&S service as early as possible as to who the panel members are. The chairperson should also advise whether they wish to use e-shortlisting or the traditional manual method of shortlisting.

Panel Composition

9.3 Membership of the appointment panels is set out in table 1 overleaf. In general all panel members will normally have three voting members who are employees of the Trust, one of whom will normally be the line manager[9] for the post unless otherwise stated. At least one member of the panel should be from the profession concerned. Panel members will normally be of a senior level[10] than the grade of the post they are interviewing for and should be those who will be key stakeholders in the appointment and have sufficient knowledge of the work involved in the post to be able to determine and assess the ability required to do that work. Taking account of all of these provisions, Panels should normally be constituted as follows;

[9] *Where panels are being constituted for the purpose of developing a waiting list this will not be possible and will not therefore be applied in such instances.*

[10] *In the case of Medical Panels, this will not be rigorously applied due to the defined composition of panels detailed in various Guidance documents and circulars.*

Table 1 – Guide to Panel Membership

Appointment Type	*Panel Composition*
Category 1 **Chief Executive of the Trust** *Panel constitution is in accordance with the Health & Social Services Trusts (Membership and Procedure) Regulations (Northern Ireland) 1994*	***Voting Members*** o Chairman of the Trust o Non-Executive Directors ***Non Voting Members*** o DHSSPS representative o Two Assessors
Category 1A **Executive Directors other than the Chief Executive** *Panel constitution is in accordance with the Health & Social Services Trusts (Membership and Procedure) Regulations (Northern Ireland) 1994.*	***Voting Members*** o Chairman of the Trust o Chief Executive o Non-Executive Directors ***Non Voting Members*** o One external Assessor (two will be required in the case of appointment of the Medical Director).
Category 2 **Other Board level Directors**	***Voting Members*** o Chairman of the Trust o Chief Executive o One Non-Executive Director ***Non Voting Members*** o One external Assessor
Category 3 **Consultant Medical Staff**[11] *Panel constitution is in accordance with the Health & Social Services Trusts Appointment of Consultants Regulations (Northern Ireland) 1996, as amended 2004.*	***Voting Members*** o Chairman of the Trust (or appropriate nominee) o Chief Executive (or appropriate nominee) o Medical Director (or appropriate nominee) o Trust Consultant[12] normally from the relevant speciality o External Assessor from relevant Royal College o Nominee of the faculty of Medicine of Queens University o Any additional members as deemed appropriate by the Medical Director

[11] *In the case of consultant Appointments, the panel is an Advisory Appointments Committee (AAC) responsible for deciding if any of the applicants are suitable for appointment and if so to recommend an appointee (s) to the Trust. The Trust has delegated the final decision making to the Trust representatives on the AAC. The same provisions apply to Consultant Dental Staff.*

[12] *The leaving / retiring consultant is not permitted to participate in a panel for the appointment of their successor unless there are exceptional circumstances which can be objectively justified.*

Appointment Type	*Panel Composition*
Category 4 **Other Senior Posts** **(Band 7 and higher)**	***Voting Members*** ○ Normally three[13] Trust employees of an appropriate level. ***Non Voting Members*** For posts where the panel deems it necessary, consideration may be given to the inclusion of one external Assessor. In most instances this would only be considered for posts at Band 8A (or equivalent) and above unless exceptional circumstances exist.
Category 5 **All Other Posts**	***Voting Members*** ○ Normally three[13] Trust employees of an appropriate level.

9.4 To support the Trust's equality obligations, every reasonable effort must be made to ensure that panels are where practicable appropriately "balanced" in terms of gender, and community background as a minimum.

General Principles of Participation on Panels

9.5 All panel members must be trained and refresher trained at least every 3 years in the Trust's approach to Recruitment & Selection. No individual may participate in a panel where such training has not been undertaken. The chair of the panel will be responsible for ensuring this is complied with.

9.6 To avoid allegations of nepotism panel members should not be directly related to any applicant. If such a situation arises the panel chairperson must be informed and the panel member in question must withdraw. Panel members should also give consideration to wider relationships (e.g. in-laws, close friends, business partners etc.) and should avoid participation on panels where their impartiality could reasonably be called into question. Advice should be sought from the Recruitment & Selection Service in making a decision of this nature.

9.7 Where reasonably practicable a panel member should not participate in the

[13] *In the instance of appointments to Professional (Clinical) Posts, the panel would normally include two persons from the respective profession as a minimum. Only in exceptional circumstances should this be varied and only following consultation with a senior member of Recruitment & Selection Services.*

Further, in the instance of Medical panels for Locum or training posts, it will be acceptable to run the panel with two voting members only, although on some occasions three may continue to be utilised if available.

selection process where they are aware that a live complaint is pending by a candidate and in which they are involved. As this may not be known until the shortlisting stage, individuals finding themselves in this situation should withdraw from the panel and seek advice from the R&S Service. The reason for withdrawal should not be disclosed to other panel members.

9.8 Panel membership should remain the same throughout the Recruitment & Selection process unless exceptional unforeseen circumstances arise. Such a change must be authorised by a senior member of the R&S Service in accordance with the provisions set out in paragraph 5.1.

Role of the Chairperson

9.9 Whilst all panel members have equal responsibility for every element of the appointments process, the chairperson has some additional responsibilities as follows;

- The chairperson will be the main point of contact for the R&S Team;
- The chairperson will ensure that all members of the panel are appropriately trained;
- The chairperson will ensure that the panel is appropriately balanced in terms of gender and community background[14];
- The chairperson will be responsible for chairing the shortlisting meeting, or in the case of e-shortlisting ensuring that the panel have completed the shortlisting and submission of the results is complete;
- The chairperson will be responsible for chairing the interviews and ensuring that the timing of interviews is appropriately managed in accordance with the planned schedule.
- The chairperson will be responsible for leading the panel discussions following independent assessment. Guidance for the chairperson may be seen at Appendix 2 – MPG5.
- The Chairperson will be responsible for ensuring that all candidate checks have been complete in accordance with the relevant checklist copy of which can be seen in Appendix 4 – C1;

[14] *Chairpersons should not seek to determine this themselves but rather should constitute the panel with the most appropriate persons and then seek guidance from the Equality Assurance Unit.*

- The Chairperson will be responsible for managing the conduct of the interview and all panel members during the interview process in accordance with Trust Policy and Procedures.

Role of the External Assessor / External Nominee

9.10 Where a specialist assessor is required their role is to advise as to which applicants are considered competent to perform the duties of the particular post. This is particularly useful in terms of ensuring relevant expertise is available as well as providing a level of objectivity. In this regard, Assessors will:

- Participate fully in the interviews but, with the exception of Medical Consultant appointments, will have no voting rights;

- Have appropriate professional qualifications (where necessary) and knowledge of the post being interviewed for;

- Be in a position which is senior to the post being interviewed for unless exceptional circumstances exist or in the case of Medical appointments where the most specified persons will likely be of the same grade (eg Consultant Appointments);

- Have been trained in recruitment and selection, and be conversant with the Trust's Recruitment and Selection Procedures.

9.11 Assessors cannot act as a referee for applicants and must therefore advise panel members where they are have been requested to act as a referee for any applicant.

9.12 As far as possible the Assessor should come from outside the Trust unless exceptional circumstances exist. Where it is believed there are exceptional circumstances a variation may be considered and should be authorised in accordance with provisions set out in paragraph 5.1.

9.13 With the exception of Medical Consultant Appointments, the Assessor is not required to participate in the shortlisting. In the case of Medical consultant appointments the Assessor will participate in the shortlisting as they are a core member of the AAC and in particular must be satisfied that the applicants meet the Essential Criteria to be used for shortlisting as required by the Personnel Specification. Assessors may complete the shortlisting either by attendance at a meeting or more normally by correspondence.

9.14 The Assessor will participate fully in the interviews and discussion but with the

exception of Medical Consultant Appointments will not have voting rights. In most instances the Assessor will be the most appropriate member of the panel to open the general discussions advising the panel on the professional competence of each candidate.

9.15 In the instance of Medical Consultant Appointments, the Assessor has no right to veto the appointment per se. However should an Assessor on such a panel believe that the candidate is not suitable for appointment they should make this known immediately to the chair of the panel stating their reasons for such and advising that should the appointment proceed they would not be in agreement to the recommendation. The Assessor in these circumstances will be required to abide by their respective colleges protocol in such instances. It is recommended that the Chair of the panel seek advice from the HR representative assigned to support the panel.

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RECRUITMENT

The sample documentation, flowcharts, guidance etc as set out in the appendices of this document are that used for all non medical appointments. Whilst medical appointments will operate as close to these templates as possible some element of variation may be evident particularly but not exclusively for Medical Consultant Appointments.

10.0 PRE-ADVERTISEMENT CHECKS

10.1 On receipt of an approved recruitment request, the R&S Service will conduct a number of pre-advertisement checks in accordance with the Trusts Advertising Procedure.

10.2 Pre-advertisement checks will include a check against the Trusts redeployment register and relevant waiting lists.

10.3 Where a suitable match is made against the redeployment register, the procedures set out in the Trusts Management of Change Framework will be followed. A summary flow chart may be seen at Appendix 3 – FC5.

10.4 Where a live waiting list exists the Trusts waiting list management protocols will be followed with a view to making an offer of employment. A Summary flow chart may be seen at Appendix 3 – FC6.

10.5 Where there is no suitable match on the redeployment register or where no appointment can be made via a suitable waiting list the post will proceed to Advertisement.

11.0 ADVERTISEMENT OF A VACANCY

11.1 Where it is deemed appropriate to proceed to advertisement the Trusts Advertisement Procedure will be applied.

Information To Applicants

11.2 All advertisements must be supported by an appropriate information pack. This will include;

- An Application Form;
- Job Description; [For Medical Appointments to include Job Plan of weekly schedule or working pattern whichever is appropriate];
- Personnel Specification;
- KSF Outline[15] / Appraisal Process
- Terms & Conditions of Appointment;
- “Signpost” to information on the Trust, and;
- Any additional information which is relevant to the job.

[15] *At the time of publishing this document KSF Outlines are still being developed. For this reason outlines will be phased into use as they become available.*

12.0 APPLICATIONS

12.1 Application forms and further details can be obtained in a number of ways including;

- by accessing the www.hscrecruit.com website where applications can be completed and returned on-line using this website or by downloading a hard copy for return by post;

- by calling in person to the Recruitment & Selection Service as specified in the relevant advertisement;

- by telephone request as detailed in the advertisement;

- by e-mailing Recruitment.services@southerntrust.hscni.net .

12.2 Internal applicants can request application forms to be sent through the Trust's internal mail system, however the Recruitment & Selection Service cannot be held responsible for any delays in the internal mailing system.

Returned Application Forms

12.3 The Trust's standard Application Form is the only acceptable method of application to the Trust. With the exception of Medical Staff Appointments a Curriculum Vitae will not normally be made available to panels. In the case of Medical Staff the inclusion of a CV will only be accepted as additional information in support of a properly completed application form and not as an alternative.

12.4 In all cases it is the applicant's own responsibility to ensure that their completed application form is returned to the appropriate address by the stated closing date and time. Late applications will not be accepted under any circumstances unless it is clearly evidenced from the postmark that the application was posted in good time. Delays in the internal post system will not be taken into consideration.

12.5 Applicants are requested to provide details of any holiday arrangements which would prevent attendance at any part of the selection process. The interview panel is not obliged to take account of this information, however will endeavour to do so whenever possible.

12.6 Applicants must ensure that the information they provide is complete and accurate in accordance with the personal declaration at the end of the application form. If during pre-employment checks or following engagement it is discovered that an applicant has knowingly withheld information during the recruitment & selection process, this will be treated as a serious breach of the trust and may lead to

withdrawal of any offer / dismissal if already employed.

12.7 All applications must be accompanied by a fully completed Equal Opportunities Monitoring Form. The purpose of monitoring is to assess the extent to which equality of opportunity is being achieved.

12.8 On receipt of a completed Application Form, the Equal Opportunities Monitoring Form is detached by a member of the Recruitment & Selection Team, and is not available to any member of the selection panel.

12.9 The Trust's Equality Assurance Unit is responsible for monitoring this information:

- to assess the fairness and effectiveness of recruitment and selection processes and if necessary to make recommendations for improvements.
- to develop appropriate positive action/affirmative action initiatives if necessary.
- to instigate a thorough examination of the reasons for any disparity, if any sign of adverse or indirect discrimination is detected.

SELECTION

The sample documentation, flowcharts, guidance etc as set out in the appendices of this document are that used for all non medical appointments. Whilst medical appointments will operate as close to these templates as possible some element of variation may be evident particularly but not exclusively for Medical Consultant Appointments.

13.0 PRE – SHORTLISTING

13.1 In the event of there being a limited response, normally interpreted as 2 or fewer applicants and **BEFORE** the panel see who the applicants are, the panel may determine whether or not there has been a sufficient response.

13.2 If, taking account of information on the likely pool, it is deemed that there has not been a sufficient response the post will be re-advertised and the original applicants notified accordingly. These applications will be brought forward to the new file.

13.3 If following a second advertisement, there are no further applicants the panel must normally proceed to consider the original applications in the normal way.

14.0 SHORTLISTING

14.1 Shortlisting represents the initial stage of the decision making process and must therefore be carried out as rigorously as all the later stages. It is therefore the responsibility of the panel[16] to ensure that the shortlisting is conducted in a disciplined and systematic way that is both efficient and fair.

14.2 The purpose of shortlisting is to assess each application to ensure all those reaching the next stage of the selection process meet the essential requirements as set out in the Personnel Specification. Only those applicants who clearly meet the shortlisting criteria may be shortlisted.

14.3 Each applicant will be assessed only on the basis of the information contained in their application form against the essential criteria deemed appropriate for assessment at shortlisting.

14.4 Similarly and only if appropriate, the criteria listed as Desirable in the Personnel Specification may also be used. However, if this is to occur it must be identified at the outset **BEFORE** any application has been considered.

14.5 Shortlisting criteria **MUST** be quantified **BEFORE** any form is considered.

14.6 If a panel is using the e-shortlisting system the criteria will be entered by the R&S Service in accordance with the information contained in the Personnel Specification. The panel chairperson will have been asked in advance what would trigger the use of desirable criteria and if required what elements will be used. This will also appear in the e-shortlisting criteria listing where appropriate.

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[16] *On some occasions the R&S Service may agree to undertake the shortlisting for basic grade posts. This will only apply where the criteria is factual and does not involve any judgements to be made.*

14.7 For non medical posts, where using the traditional methods of shortlisting, all voting panel members should normally be present for the shortlisting stage. In exceptional circumstances the shortlisting may proceed with 2 panel members, however all panel members must agree the shortlisting prior to invitations to interview being issued to applicants. Care must be taken to ensure that the criteria as detailed in the Personnel Specification is used in full in terms of what is appropriate for use at the shortlisting stage (this should be detailed on the Personnel Specification).

14.8 In the instance of Medical appointments, and where the e-shortlisting facility cannot be used (where panel members have no Southern Trust account), the chair of the panel may agree to shortlisting by correspondence. The normal principles will continue to apply.

14.9 Shortlisting criteria should be held at the closing date of the advertisement. However, exceptions may be made, for example students awaiting results of qualifications/registration provided this was explicitly stated in the advertised criteria.

14.9 If using e-shortlisting all panel members must complete their assessment of each applicant against the criteria detailed. The system will record the decisions made by each panel member. Where a traditional shortlisting meeting is held the decisions must be detailed on the shortlisting form provided with the file. A copy of these forms may be seen at Appendix 5 - FM 1 and FM2.

14.10 A panel should not make assumptions about the qualifications or experience and any queries relating to qualification equivalencies should be raised with R&S Services for advice.

14.11 Any significant discussion, query or debate which the panel have while shortlisting should be noted. Advice can be sought from the Recruitment & Selection Team if necessary. Ultimately all panel members must be in agreement with the final shortlist of applicants.

14.12 If none of the applicants meet the minimum requirements the Chairperson of the panel should ensure that all the documentation is completed to this effect and should also advise the Recruitment and Selection Service how they wish to progress the vacancy. If the post is to be re-advertised the following should be considered:

- Was the advert put in the right place at the right time?
- Are the job requirements as stated in the Personnel Specification unrealistic?

14.13 Panels should be aware that once they have proceeded to shortlist they MUST complete the full assessment process, even where only one applicant is shortlisted.

14.14 Once the panel have completed the shortlisting they must consider the next stages of assessment. This should include whether or not any tests or presentations will be used as part of the assessment process.

14.15 Panels should be mindful of their responsibilities under the Disability Discrimination legislation and should look out for any reasonable adjustments required for persons declaring a disability. On occasions this may include the waiving of some essential criteria where it is evidenced that the individual is prevented from holding the requirements for a reason related to their disability and where this is reasonable in the circumstances. Advice should be sought from a senior member of the R&S Service in each and every case.

14.16 In the case of a post which has no shortlistable criteria, for example a band 1 Domestic Assistant post, the panel will proceed directly to interview. However in such instances the various checks made at the shortlisting stage for example for Governance issues will be undertaken prior to the interviews commencing.

15.0 SUPPORTING SELECTION METHODS

15.1 The selection interview is the most widely used method of selection within the Trust. However, a wide range of other methods / techniques are available to support the interview process and help to identify those individuals with the particular skills / abilities necessary for successful job performance. These might include;

- Psychometric Testing
- Job Related Tests
- Presentations

15.2 Additional methods of assessment may be used by the Trust as part of the selection process. Tests are used mainly for the purposes of rejecting unsuitable applicants in the initial stages of the selection process, but may also be used later on in the process to aid selection decisions.

15.3 Psychometric tests aim to maximise objectivity by standardising test conditions, instructions, time, content, scoring and interpretation. Such tests can only be carried out by appropriately trained administrators. The Recruitment & Selection Team must be contacted for advice on psychometric testing.

15.4 Job related tests are based on actual work situations so that similar tools / equipment are used. The majority of job related tests are used to assess present levels of skill. They assume that the candidate already has the underlying skills eg word processing skills or filing skills. Examples include word processing tests, use of spreadsheets / databases for information analysis or presentations, designed to simulate or represent important elements of a job, or to test a candidate's knowledge of a subject.

15.5 To set up a job related test it is important to carefully analyse the crucial elements of the job. The main advantages of using samples are that they are very work specific and therefore are job related. Candidates can see the relevance of the test as it can easily be related to job tasks.

15.6 While it is the interview panel's responsibility to carry out and assess job related tests, the Recruitment & Selection Team should be contacted for advice.

15.7 Presentations may be used either 'seen' or 'unseen' as part of the process on the day of interview. Again the panel is responsible for ensuring that all equipment and materials are available on the day. In all instances the candidates must be advised if there is to be a presentation. For 'unseen' presentations candidates should be invited to preparation time in advance of their interview time. For 'seen' presentations candidates must be advised of the presentation title and length of the presentation they are to make in their call to interview letter.

15.8 Panels choosing to use supporting selection methods must be mindful of the need for everything to be equality proofed and in particular should consider the needs of disabled applicants and any reasonable adjustments which may be required to ensure equality of opportunity.

16.0 PREPARATION FOR ASSESSMENT

16.1 All panel members have a responsibility to ensure that sufficient preparation is undertaken before the day of interview. The chairperson in particular should ensure that all the necessary preparations are completed well in advance and that all such preparations are completed in a confidential manner.

16.2 It is the responsibility of the chairperson[17] to organise the date, time, venue and hospitality for interviews.

16.3 All panel members should have the opportunity to assess the application forms in full prior to the interviews and the Chairperson in particular must ensure that any

[17] *The only exception to this at the time of writing is Medical panels which will continue to be supported in this process by the Recruitment & Selection Service for Medical Appointments.*

necessary gaps in employment, reasons for leaving previous employment, rehabilitation of offenders questions etc are clearly answered. A checklist as seen at Appendix 4 – C1 will be available on each file to support panels in this part of the interview process.

16.4 The interview is the most commonly used selection method within the Trust. In an interview, questions are used to gather evidence to enable the interviewer(s) to assess the candidate against the essential criteria as set out in the Personnel Specification.

16.5 Interview questions should be developed at the earliest stage possible, based on the job requirements. Each requirement detailed in the Personnel Specification for assessment at interview should be represented at interview by one or more questions and should have a number of indicators of success (expected responses) to help measure the candidate's performance. For senior posts where the Leadership Qualities Framework (LQF) may be used, outline guidance on linking the LQF to the Criteria in the Personnel Specification in terms of developing questions may be viewed at MPG 6.

16.6 It is the responsibility of the selection panel to develop questions to be used at interview.

16.7 All questions must be job-related and reflect the requirements detailed in the Personnel Specification.

16.8 There is no rule about the number of questions an interviewer should ask, however, questions should cover all the areas to be assessed during the interview and must ultimately ensure that all elements of the essential criteria have been assessed, either at shortlisting or at interview.

16.9 It is critical that effective questions are asked at the interview. Irrelevant or ambiguous questions will not generate the information needed to make a decision and the candidate will go away with a negative impression of the Trust. Questions should encourage candidates to express their views and detail experience relevant to the post, eliciting attitude as well as fact. For this purpose open questions should be used.

16.10 Leading questions, double-headed questions and multiple choice questions should be avoided as they will not allow for the candidate to elaborate on the question in a manner which will allow the panel to assess their ability and level of current or potential competence.

16.11 Questions should not be asked about marital status, children or other personal circumstances. The use of such questions is likely to constitute unlawful

discrimination.

16.12 Confidentiality must be observed at all times. Anyone who reveals interview questions or any information relating to an interview process to candidates prior to interview will be subject to formal disciplinary action which may include dismissal.

16.13 Questions and expected responses must be recorded on the Trust's standard documentation, and candidate assessment forms must also be prepared. These forms are available on the Trusts Intranet site under Human Resources\ Recruitment & Selection \ Forms section. Copies may also be seen in Appendix 5 – FM3 – FM4 – FM5.

16.14 The panel must ensure that an appropriate scoring mechanism is put in place. If some requirements are considered more important for successful job performance than others a weighting, of 1, 2 or 3, should be applied to each requirement, to reflect the relative importance of each requirement. The more important the requirement, the higher the weighting should be.

16.15 The panel Chairperson will be responsible for ensuring that the general checklist of standard questions is asked of each applicant. This is a standard template which will be provided to each panel. A copy may be viewed at Appendix 4 – C1.

16.16 In summary, the interview preparations must allow for all panel members to;

- agree what questions are being asked,
- ensure they clearly understand the questions and expected responses;
- ensure they know who will ask what questions and in what order,
- be clear on how questions will be followed up through relevant probing etc.

17.0 ASSESSMENT THROUGH INTERVIEW

17.1 The aim of the interview is to collect the information required to assess how well the candidate meets the specific requirements of the job, in order to make a reliable and valid prediction about performance on the job. A secondary aim is to give the candidate information about the job and the Trust.

17.2 It is particularly important at the interview stage that the candidate feels s/he has been treated fairly and takes away a good impression of the organisation, encouraging high calibre applicants to join the Trust and leaving unsuccessful applicants without any ill-feeling.

17.3 There are three main stages to the interview:

- the opening – the applicant is introduced to the panel, the procedure/format

of the interview is explained, and the applicant is put at ease.

- the interview – questions are asked of the applicant and evidence is obtained and recorded.

- the close – the applicant can ask questions, details of terms and conditions are clarified, and the panel to complete standard checks for Proof of Identity, issues regarding sickness absence, completion of the rehabilitation of offenders question, reasons for leaving employment etc.

17.4 All candidates must be asked the same questions, however, any gaps or omissions in the application form should also be explored at interview. The sickness absence record should be confirmed with each applicant giving them the opportunity to provide any additional information which may need to be passed on to the Occupational Health Department.

17.5 Candidates must be assessed on their answers to the interview questions and <u>not</u> on any outside knowledge the panel may have of them or on any subjective basis.

17.6 The selection decision must not be made during the interview. Instead the interview must be used to obtain evidence from candidates on each of the requirements to be assessed. This evidence can then be judged against the requirements of the post.

17.7 No appointment decision can be made until <u>all</u> candidates have been interviewed.

17.8 Notes must be taken in all interview situations and <u>all</u> panel members have responsibility for individual note taking throughout the interview. Notes should be recorded on the Interview Assessment Form detailing as far as possible exactly what the candidate said in response to the questions.

17.9 Notes must be factual, objective and sufficiently detailed to permit assessment against the expected responses and justify final decisions. Notes such as 'good answer' or 'poor answer' are not sufficient. All notes made during the interview must be returned to the R&S Service at the end of the interview process where they will be kept on the job file. Panel members should note that under Data Protection Legislation applicants have the right to request access to their interview notes. Interview notes are also discoverable in Industrial / Fair Employment Tribunal cases.

17.10 Panels should be aware of their body language and how it can be interpreted by the candidate.

17.11 At interview stage panels will be responsible for conducting a range of checks including identity of all applicants. A checklist of panel requirements will be available with the file and may be viewed at Appendix 4 – C1.

17.12 At the end of the interview the Chairperson will be responsible for giving the candidate the opportunity to ask any questions as well as concluding the interview by advising the candidate that they will be informed of the outcome in writing normally within 10 days of the interview date.

17.13 Panel members should take the opportunity at the end of each interview to ensure that their notes are complete and all evidence has been recorded. This will ensure that each panel member is using the same evidence to make their individual assessments.

17.14 Each candidate is allocated a rating on the basis of a 0-10 rating scale (see below) for each requirement. This is done individually by each panel member (including Assessors).

0-3	This should be awarded where a candidate's response is weak and they have failed to provide a sufficient level of understanding of the area in question having provided only up to 30% of the expected response
4-6	This should be awarded where the candidate's response has demonstrated a reasonable level of understanding of the area in question having provided 40 – 60% of the expected response.
7-10	This should be awarded where the candidate's response has demonstrated a good level of understanding of the area in question having provided 70 - 100% of the expected response.

Panels should consider the minimum score a candidate must reach as independently assessed by each panel member before they can be considered further for appointment. This is not a guarantee that a candidate will be appointed but provides a minimum level which the applicant should reach before they can be considered as being fit to be considered for appointment.

17.15 A total score is allocated to each candidate, by each interviewer, allowing each panel member to have candidates ranked in order of merit. Panel members should be mindful of the potential impact of wrongly totaled scores or mistakes in their ranking. For this reason it is necessary to ensure that all panel members have another panel member check their total scores and ranking. The candidate

Assessment form will provide an area for this check to be confirmed as completed.

17.16 Once each panel member has completed their independent assessment the chairperson should ask that each panel member reveal their scores and individual ranking for each candidate. This should be plotted onto the Summary Score Sheet.

17.17 To support the final decision making process, the **rank** for each candidate by each panel member[18] should be totaled, and on the basis of these total **ranks** an overall **rank order** of candidates should be made on the summary score sheet. A copy of this may be seen at Appendix 5 – FM6

17.18 Panel Members should discuss large discrepancies between scores but care should be taken to ensure a panel member is not coerced into changing their scores by other more assertive panel members. Each panel member is equally accountable for the decision making process.

17.19 The candidate with the top total **rank** should normally be considered the most appointable candidate[19].

17.20 Notes should be made about the discussions and process adopted and how the final decision was reached, so that information is available if a complaint or claim of unlawful discrimination is made.

17.21 Panels should remember that if none of the candidates performed to an acceptable standard they are free not to appoint. Alternatively if more than one candidate was appointable, the panel may consider selecting a reserve candidate (s) however this should only happen where the panel are confident that if the successful applicant was to turn down the job offer they would be content for that person to be appointed. The panel may also wish to consider appointing a waiting list in accordance with the Trusts protocols for such.

18.0 Particular Considerations During Final Decision Making

18.1 Where the successful candidate has declared a conviction the panel should consider the details and relevancy to the post for which they are being considered. Panels should be mindful that disclosure of a conviction does not debar a candidate from appointment however where this would pose a significant risk the panel are free to take this into account in their final decision. It is recommended

[18] *Assessors are not part of the voting panel with the exception of medical consultant AAC's where initially all panel members scores and rank orders should be considered. Beyond the exception of Medical Consultant panels Assessors scores and rank orders should not be included in the overall rank order.*

[19] *In the instance of the Medical Consultant Panel the AAC will provide their recommendations to the Trust. It is then the responsibility of the Trust representatives on the panel to make the final decsioni.*

that R&S Services should be contacted for advice and guidance.

18.2 Where an individual is required to be registered with a professional body and has declared that they are for example under investigation, it is recommended that the panel seek advice from a senior member of the Recruitment & Selection Service before the final decision is made.

18.3 In making selection decisions for all posts within the Trust, the applicant's sickness record is a key factor that should be taken into consideration.

18.4 In making the final selection decision the panel should be mindful of the applicant's sickness record. This specifically excludes maternity related illness. Panels should also exercise caution regarding illness or sickness absence related to an applicant's disability or other exceptional circumstances such as following a Road Traffic Accident which may be a "one off" incident or an ongoing condition which has been or is being resolved through treatment. The key is consideration of the pattern of sickness absence and the number of episodes rather than the length of individual episodes. Where an individual has more than 3 episodes of sickness absence consistently over each of the 3 year period detailed on the application form, other than in the circumstances detailed above, the panel may consider this sufficient to warrant not proceeding with appointment. If this is a likely outcome it is recommended that advice be sought from the R&S Service and / or Occupational Health Service before the panels final decision is taken. In all events, full detailed notes of any decisions taken on this basis must be recorded in writing.

19.0 What to Do Once a Decision is Finalised

19.1 Relevant documentation such as the interview Outcome form and Chairperson's Checklist form must be completed in full and signed after interviews have taken place. A copy of this may be seen at Appendix 5 – FM7.

19.2 All information, including Questions, Expected Responses and interview assessment sheets, must be retained on the recruitment file and returned in person to the panels nominated contact in the Recruitment & Selection Service immediately following the interview process.

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APPOINTMENT

The sample documentation, flowcharts, guidance etc as set out in the appendices of this document are that used for all non medical appointments. Whilst medical appointments will operate as close to these templates as possible some element of variation may be evident particularly but not exclusively for Medical Consultant Appointments.

20.0 THE APPOINTMENT

Notifying Candidates

20.1 All candidates who make it to the final stage of the selection process should normally receive notification of the outcome within 5 - 10 working days of the file being returned. If this is not possible candidates should be advised accordingly.

20.2 Letters to successful and unsuccessful candidates should normally be posted simultaneously, if appropriate. However, it will be at the discretion of the Recruitment & Selection Service to deviate from this procedure where appropriate.

20.3 Where a manager wishes to inform applicants of the outcome of their interview, they must first notify their nominated contact in the Recruitment & Selection Service. In such cases, the manager will be responsible for ensuring that all applicants are informed of their outcome at the same time. Managers must ensure the successful applicant (s) are made aware that the offer is conditional on successful completion of all pre-employment checks including receipt of satisfactory references. Where the successful candidate is required to be registered with a professional body and has declared during the recruitment & selection process that they are for example under investigation, the panel **MUST NOT** make any offer of employment without having sought advice from a **senior member** of the Recruitment & Selection Service.

Pre-Employment Checks

20.4 Once the panel's decision has been made a conditional offer will be made to the successful applicant (s) subject to the satisfactory completion of a number of pre-employment checks as follows;

- Application Form checks;
- References[20];
- Occupational Health Assessment;
- Disclosure Certificates & Self Declarations;
- Home Office Requirements for Non UK Nationals;
- Professional Registration (where appropriate), Qualifications and Driving Licence;
- Identity Checks;
- Disabled Appointees who may require a Reasonable Adjustment Meeting.

[20] *References for Medical Staff appointments and Senior Executive Appointments will continue to be sought in advance of interviews and therefore the checks at the pre-employment stage will be restricted to ensuring these are in place. The standard form will also differ for Medical Staff appointments.*

Application Form checks;

20.5 The Recruitment Officer processing the file will complete a range of checks such as, evidence of explanations for Gaps in Employment, evidence of reasons for leaving previous employment, any concerns arising from an unstable employment history, references provided include current and former NHS / Social Care / HSC employers.

References;

20.6 Appointments to the Trust are all made subject to[21] satisfactory references being received. This will normally be two in writing[22]. Where every effort has been made to obtain two written references and this has not been possible a senior member of the R&S Service will determine how to proceed based on a risk assessment.

20.7 The Recruitment & Selection Service will obtain references using a standard pro forma, and inform the panel if any problems arise.

20.8 Applicants must provide details of two referee (not relatives), and at least one of them should have knowledge of their present work and be in a supervisory / managerial capacity.

20.9 Panel members are not prohibited from providing an applicant with a reference, should they be asked to do so. However where an alternative is available this would be the preferred option.

20.10 Assessors are prohibited from providing applicant references as the purpose of the assessor is to provide independent professional advice.

20.11 The Trust may at its discretion seek a reference from the last HSC/ NHS/ Social Care employer, even if this name has not been provided by the applicant, and even if there have been other employers in between.

20.12 References should only be considered after the assessment process has been completed and the panel has come to a decision regarding the successful applicant(s). The appointment should not be confirmed until references have been satisfactorily checked. References should not be used by interview panels as a means of deciding between two or more candidates, as to who is appointed. This would allow subjective information from someone who is outside the selection process, to influence the final selection decision. However the reference should be

[21] *In the instance of medical appointments, references will normally be obtained before the formal conditional offer is made.*
[22] *Where posts are temporary in nature and very short term, this may be reduced to one written reference.*

used to confirm the panel's decision.

Occupational Health Assessment;

20.13 Offers of employment to all grades of staff are dependent on a successful pre-employment health assessment. Pre-employment health assessments will be organised by the Recruitment & Selection Team and should be carried out prior to taking up an appointment but may be completed afterwards in exceptional circumstances such as inability to attend due to work commitments or an urgent need to fill a post.

Disclosure Certificates[23] & Self Declarations;

20.14 Appointees will be asked to complete the self declaration regarding any cautions, convictions or bind overs and in relation to any ongoing referral to the ISA provisional listing. Where an individual is the subject of investigation by the ISA the offer of appointment will be held for no more than 3 weeks following the initial written offer. If the case remains pending at this stage the conditional offer will be withdrawn. This is purely to meet service needs and in no way attributes any blame to the individual, nor does it debar the person from applying to the organization again in the future.

20.15 Successful candidates appointed to positions as defined under the Safeguarding Vulnerable Groups (SVG) (NI) Order 2007 will be subject to the appropriate Disclosure checks[24]. This will be obtained in the form of either a Standard or Enhanced Disclosure check through Access NI. Disclosure Certificates must be obtained before commencement of employment where the post is covered by SVG legislation.

20.16 Where the individual does have a criminal record, the information on the disclosure certificate will be shared with the appointments panel to ensure that a fair and balanced judgement can be made on the relevancy of the information available. This should confirm the panels earlier judgement in relation to the appointment.

20.17 Where there is any discrepancy between the contents of the Disclosure Certificate and the information declared by the applicant on their application form and self declaration on offer of appointment, the offer will normally be withdrawn. This is on the basis that the honesty and integrity of the individual has been called into question and is not related to the convictions / cautions held.

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[23] *Disclosure Certificates will be managed in accordance with the protocols set out at Appendix 6 of this document.*

Home Office Requirements for Non UK Nationals

20.18 The Recruitment & Selection Service holds separate guidance for the recruitment of staff who are not UK-nationals, regarding Home Office requirements to prevent illegal working. This guidance should be referred to where the appointment of applicants who are not UK-nationals is being considered.

20.19 It is the responsibility of the panel to highlight applicants who are non EEA members to their nominated R&S Contact.

Professional Registration Checks, Qualification Checks and Driving Licence Checks

20.20 For all successful applicants, the Recruitment & Selection Team will carry out checks on professional registration, qualifications and driving licence requirements, as set out in the Personnel Specification. This will involve retaining a record/copy of all relevant documentation on personal files.

Identity Checks

20.21 The Recruitment & Selection Service will check relevant identity documents of all successful applicants. These documents are defined in guidance provided by the Home Office. This will involve retaining a record/copy of all relevant documentation on personal files.

Disabled Appointees who may require a Reasonable Adjustment Meeting

20.22 Where the appointed individual has indicated the need for Reasonable Adjustments in the post a meeting will be held with the individual, line manager and a member of the R&S Service. This meeting will be aimed at exploring what the required adjustments are and ensuring that provision can be made.

Failure to Disclose

20.23 If during the course of pre-employment checks or indeed following employment it is discovered that an individual knowingly withheld information during the recruitment & selection process, irrespective of the relevancy of this to the appointment, this may lead to the withdrawal of any offer / dismissal if employed.

[24] *This legislation will introduce VBS registration from July 2010 which the Trust will adopt at that time.*

21.0 RESERVE CANDIDATES & WAITING LISTS

21.1 **Reserve Candidates** – in the event of the highest ranked candidate not accepting an offer of employment, or failure to satisfactorily complete pre-employment checks, an offer of employment may be made from a reserve list. Where a waiting list is to be created the reserve candidate will be taken as first on the waiting list.

21.2 **Waiting Lists** - where it is deemed appropriate, waiting lists will be compiled for permanent, temporary, full-time, part-time and job share vacancies of the same grade and skills/requirements, throughout the Trust (or within Programmes of Care where appropriate). Waiting lists will normally be valid for a minimum of 9 months from the date of interview and will not normally exceed 12 months. Only candidates who meet the required standard for the post should be placed on a waiting list, in rank order.

REVIEW AND EVALUATION

The sample documentation, flowcharts, guidance etc as set out in the appendices of this document are that used for all non medical appointments. Whilst medical appointments will operate as close to these templates as possible some element of variation may be evident particularly but not exclusively for Medical Consultant Appointments.

22.0 APPLICANT FEEDBACK

22.1 Verbal feedback will, where possible, be made available to candidates on request. In most circumstances candidate feedback will only be available within a 3 month time frame from the date of interviews. Feedback should normally be provided by the chairperson or alternatively another member of the panel and it should be conducted in private allowing sufficient time for adequate discussion.

22.2 The purpose of providing feedback is for development purposes. Therefore all feedback given should be constructive focusing specifically on the performance of the particular candidate requesting the feedback, what went well and what they could have improved on.

22.3 Information regarding other candidates' results or performance must be kept strictly confidential. Feedback is not therefore about providing a comparison with other candidates but rather providing information on the candidates own performance in light of the assessment criteria (expected responses).

22.4 It is not normally feasible to provide feedback in writing.

Access to Interview Notes and References under Data Protection Act 1998

22.4 Under the Data Protection Act 1998, applicants may request access to personal data which relates to them – this will include interview notes made by the appointment panel and references. The Trust has procedures in place for dealing appropriately with such access requests.

23.0 EVALUATION AND REVIEW

23.1 The Recruitment & Selection Service regularly conduct evaluation and review of the ongoing episodes of Recruitment & Selection. This is aimed at assessing the performance of the R&S Service to panels, candidates and ensuring that all elements of the process are complied with by all participants in the process.

23.2 Regular review of the process also allows for amendments to be made arising from changes to Legislation, Best Practice, identification of any affirmative action requirements or indeed our own experiences of the practical application of these procedures.

23.3 These procedures will therefore be subject to minor ongoing amendments which are necessary to ensure fairness and equity as well as robust management in all

appointments processes. Such minor modifications will not be individually consulted on but amendments will be posted on the Trusts Intranet site.

23.4 A major review of these procedures will be conducted at least every 2 years or sooner if required.

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COMPLAINTS ABOUT THE RECRUITMENT & SELECTION PROCESS

24.0 COMPLAINTS RELATING TO THE RECRUITMENT & SELECTION PROCESS

24.1 The Trust recognises that from time to time individual applicants, normally those unsuccessful in their application, may feel there is a need to raise a complaint about some element of the process. As the Trusts Grievance procedure is not appropriate for handling of complaints arising from the R&S process, this section sets out how an individual can raise any issue of concern in a constructive manner. The scope of this procedure only extends to any complaint about a procedural matter and not the selection decision itself.

24.2 This element of the procedure applies to all applicants both internal and external. Internal applicants will have the right to be accompanied by a trade union representative or work colleague of their choice (other than a relative) to any meeting relating to their complaint.

24.3 Issues which may give rise to a complaint include all aspects of the Recruitment & Selection process including those relating to advertising, documentation, shortlisting and selection.

24.2.1 All complaints should be raised with the Recruitment Manager[25] as early as possible.

24.3 Where the complaint is received verbally, the Recruitment Manager will initially seek to obtain a statement from the complainant to ensure a clear understanding of the complaint. If the matter cannot be resolved during the initial telephone conversation, the Recruitment Manager will ask the complainant to put their complaint in writing.

24.4 Once a written complaint is received a meeting will be arranged to meet the complainant as soon as is reasonably practicable. In most instances this will occur within 15 working days. Where this is not possible an explanation will be provided and a mutually agreeable appointment will be made. The complainant will have the right to be accompanied by a trade union representative or work colleague of their choice. All meetings will be followed up in writing giving the right of appeal.

24.5 If the complainant remains dissatisfied following the first meeting, they will have the opportunity appeal the decision. Such must be submitted in writing within 10

[25] *If the Recruitment Manager is involved in the matter of the complaint it should be addressed to the Senior HR Advisor for Recruitment.*

working days of the date of the letter containing the decision, clearly stating the grounds of appeal.

24.6 On receipt of an appeal letter a meeting will be arranged with an officer of suitable seniority who has had no prior involvement in the matter. In most cases this will be arranged to take place within 15 working days. Where this is not possible an explanation will be provided and a mutually agreeable appointment will be made. The complainant will have the right to be accompanied by a trade union representative or work colleague of their choice. All meetings will be followed up in writing.

24.6 There will be no further recourse for complainants who remain dissatisfied. This does not affect the individual's statutory rights.

24.7 All records and documentation associated with the complaint will be retained on the relevant Recruitment file within the Recruitment & Selection Service.

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APPENDIX 1

LEGISLATION IN RECRUITMENT & SELECTION

LEGISLATION IN RECRUITMENT AND SELECTION

The area of Recruitment & Selection is governed by much legislation. The Trust is committed to ensuring that all legal obligations are met as a minimum to ensure equality of opportunity. In this regard the following key elements of legislation should be taken account of;

The Fair Employment and Treatment (NI) Order 1998 (FETO)
FETO (Amendment) Regulations (NI) 2003
Employment Equality Regulations 2003

This sets out the law on discrimination on grounds of religious belief and political opinion in employment, the provision of goods, facilities and services, the sale or management of land or property, further and higher education and in respect of partnerships and barristers. There is also an accompanying Code of Practice.

There are 3 key concepts which apply to this legislation as follows;

- ***Direct discrimination*** is where a person, on grounds of religious belief or political opinion, is treated less favourably than others are, or would be, treated in the same or similar circumstances.

- ***Indirect discrimination*** arises where a provision, criterion or practice is applied which although applied equally to all applicants has the effect of putting people of a particular religious belief or political opinion at a disadvantage and which cannot be justified.

- ***Victimisation*** means treating someone less favourably than others are or would be treated, because they have asserted their rights under the legislation, helped someone else to do so or intends to do so.

Within Fair Employment legislation there is provision for Affirmative Action where a trend of imbalance to one community or the other is evident in the applicant pool / appointments.

Where such is in place the Trust will make this known at R&S Training. Affirmative Action only requires the Trust to ensure that the under represented community are encouraged to apply for posts but thereafter the principle of merit must apply.

As with most legislative provisions there are some exceptions within FETO however none that apply to posts within the HSC.

Anyone who feels that they may have suffered unlawful discrimination under this legislation may take legal action. The main route in this respect is by lodging a complaint with the Fair Employment Tribunal (FET). The FET can come to various decisions in a complaint including awarding compensation (unlimited).

The Sex Discrimination (NI) Order 1976 & 1988
Gender Reassignment Regulations 1999
Employment Equality (Sexual Orientation) Regulations (NI) 2003
Gender Recognition Act 2004

This sets out the law on discrimination on grounds of gender and marital status in employment, the provision of goods, facilities and services, education, vocational training and housing. There is also an accompanying Code of Practice.

In addition, associated Gender Reassignment Regulations protect transsexuals and those undergoing gender reassignment from discrimination in employment and training. Furthermore the Employment Equality (Sexual Orientation) Regulations apply in employment and vocational training. Again there is an accompanying Code of Practice. (Sexual orientation means a sexual orientation towards persons of the same sex, the opposite sex or both sexes). It is also important to remember that these regulations protect individuals who have been discriminated against because they either have or have been perceived to have a particular sexual orientation or because of someone else's sexual orientation (e.g. they associate with gay friends). Transsexuals may also have rights under these regulations if they are treated less favourably because of their actual or perceived sexual orientation.

Again the same key elements are seen in this legislation as under FETO i.e. Direct and Indirect Discrimination and Victimisation.

The employment provisions of this legislation do not apply where being a man or woman is a genuine occupational qualification (GOQ) for a job e.g. for reasons of physiology or decency. This will apply in very limited situations, as the legislation is extremely limited in this regard.

Anyone who feels that they may have suffered unlawful discrimination under this legislation may take legal action. The main route in this respect is by lodging a complaint with the Industrial Tribunal (IT). The IT can come to various decisions in a complaint including awarding compensation (unlimited).

The Disability Discrimination Act 1995
Disability Discrimination (Amendment NI) Regulations 2004
Disability Discrimination NI Order 2006

This sets out the law on discrimination on grounds of disability in employment, access to goods, facilities and services and the management, buying or renting of property. There is also an accompanying Code of Practice.

This is the only piece of one sided legislation in that it can only be used for complaint by a person with a disability. The provisions are different to other legislative provision with the key concepts being as follows;

- Failure to make reasonable adjustments

- ***Direct discrimination*** is where a person, on grounds of disability, is treated less favourably than others not having that particular disability are, or would be, treated in the same or similar circumstances.

- ***Disability-related discrimination*** arises where an employer's treatment of a disabled person is for a reason related to their disability, is less favourable than the way in which the employer treats or would treat others to whom that reason does not or would not apply, and the employer cannot show that the treatment is justified. Although the Act itself does not use this term, the Code of Practice does when referring to treatment of a disabled person which is unlawful because of the reasons above but does not amount to direct discrimination.

- ***Victimisation*** means treating someone less favourably than others because they have, for example, complained of alleged discrimination or have assisted someone else to do so.

Anyone who feels that they may have suffered unlawful discrimination under this legislation may take legal action. The main route in this respect is by lodging a complaint with the Industrial Tribunal (IT). The IT can come to various decisions in a complaint including awarding compensation (unlimited).

The Race Relations (NI) Order 1997 (as amended)

This sets out the law on discrimination on grounds of race, colour, nationality or ethnic or national origin in employment, the provision of goods, facilities and services, education, the management and disposal of premises and housing and

accommodation. There is also an accompanying Code of Practice.

Again the same key elements are seen in this legislation as under FETO i.e. Direct and Indirect Discrimination and Victimisation.

The employment provisions of the legislation do not apply where being a member of a particular racial group is a genuine occupational requirement (GOR) for a job. In similar terms to the GOQ under the sex discrimination legislation, this will only be able to be used in limited circumstances and there is not likely to be a valid GOR within the HSC.

Anyone who feels that they may have suffered unlawful discrimination under this legislation may take legal action. The main route in this respect is by lodging a complaint with the Industrial Tribunal (IT). The IT can come to various decisions in a complaint including awarding compensation (unlimited).

Employment Equality (Age) Regulations (NI) 2006

This sets out the law on discrimination on grounds of age in employment, vocational training and further and higher education. There is also an accompanying Code of Practice. Most of the employment rights of children and young people (persons not over the upper limit of compulsory school age) are dealt with under separate legislation. These are set out in the Code of Practice. Outside of these particular considerations, the Age regulations apply to the employment of children in the same way as they apply to the employment of adults.

Under this legislation the same provisions as many other pieces of legislation apply in that the key concepts are Direct, Indirect Discrimination and Victimisation however the following is worth noting in the context of this legislation;

- In a small number of cases, direct age discrimination may be permitted where an employer can demonstrate that their actions were lawfully objectively justified. This will be a difficult criterion to satisfy and must therefore be approached with caution. An example of where it may apply is where insurance cannot be obtained for a driver under the age of 21 years.

- Discrimination for failing to carry out an age discriminatory instruction occurs where an employer treats a person less favourably than they treat or would treat other persons, and the reason is that the person has failed to carry out (in whole or in part) an instruction (or has complained about receiving an instruction) to do an act that is unlawful under the regulations.

Anyone who feels that they may have suffered unlawful discrimination under this legislation may take legal action. The main route in this respect is by lodging a complaint with the Industrial Tribunal (IT). The IT can come to various decisions in a complaint including awarding compensation (unlimited).

Rehabilitation of Offenders (NI) Order 1978 & Exceptions Order 1989 as amended 2001

This order lists exceptions to the Rehabilitation of Offenders (NI) Order 1978. It means that anyone who applies for a job in the Trust must declare on their application form any information about any criminal convictions they have ever had. The panel should check this information and they can take this information into account when considering a candidate for a post. It may also be that a panel might want to ask about the offence so that it can make a judgement as to whether it is relevant to the post being filled. Human Resources can advise on such issues.

Safeguarding Vulnerable Groups (NI) Order 2007

This order requires that where a postholder will be working in a regulated or controlled the postholder must have an Enhanced or Standard Disclosure check conducted through Access NI (ANI). In July 2010, this will change to compulsory Vetting & Barring Scheme registration which may include a disclosure through ANI.

NI Act 1998

The Equality Commission for Northern Ireland is an independent public body established under the Northern Ireland Act 1998. On 1 October 1999, it took over the functions previously carried out by the Commission for Racial Equality for NI, the Equal Opportunities Commission for NI, the Fair Employment Commission for NI and the NI Disability Council.

Its duties and functions are set out in the legislation for which it has responsibility (including those pieces of legislation outlined above). It can provide advice and assistance to individuals who feel that they may have suffered discrimination under these pieces of legislation, and this may include supporting complaints that are brought before the Tribunal, both legally and financially. The Commission can also assist employers in matters relating to equal opportunities and also has enforcement powers.

In addition to the above, the general duties of the Commission include working towards the elimination of discrimination, promoting equality of opportunity and encouraging

good practice and keeping the relevant legislation under review.

Ombudsman (NI) Order 1996 and the Commissioner for Complaints (NI) Order 1996

The office of the Northern Ireland Commissioner for Complaints (popular name: NI Ombudsman) was established in 1969, but the current powers and responsibilities are laid down in the Ombudsman (NI) Order 1996 and the Commissioner for Complaints (NI) Order 1996. These were extended in 1997 by the Commissioner for Complaints (Amendment) (NI) Order 1997.

This office deals with complaints from people who believe they have suffered injustice as a result of maladministration by government departments or public bodies in Northern Ireland. Some examples might be failure to follow agreed policies, rules and procedures, neglect or unjustified delay or failure to have proper procedures. Complaints, if appropriate for the Ombudsman's office, are investigated and a report produced. If the Ombudsman believes that someone has been unfairly treated, he will try to obtain a settlement, which may involve the organisation remedying the injustice and compensation. He does not have the power to enforce any recommendations, but if the organisation does not comply the individual can seek redress through the County Court to enforce the decision.

Other related legislation

Whilst the legislation outlined above constitutes the key elements related to Recruitment & Selection those involved in R&S process should be aware that there are other related pieces of legislation including;

- Part-time workers (Less Favourable Treatment) Regulations (NI) 2000
- UK Borders Act 2007
- Fixed Term Employees Regulations 2002
- Equal Pay (NI) 1970 amended 1984
- Human Rights Act 1998
- Data Protection Act 1998

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APPENDIX 2

MANAGER / PANEL GUIDANCE (MPG) NOTES

MPG1

THE JOB DESCRIPTION

There are three key documents which will support the R&S Process and form the basis of Equality. These are;

- The Job Description
- The Personnel Specification
- The Knowledge & Skills Framework (KSF)

THE JOB DESCRIPTION

A job description should provide an accurate and complete summary of the job, its purpose, key duties and responsibilities. It should be non-discriminatory, using neutral terminology throughout and include sufficient details to allow potential applications to understand the requirements of the post. It should be checked each time a vacancy occurs to ensure that it is up to date.

A job description:

- Provides information which helps with the development of the Personnel Specification (see next section) and the KSF Outline.

- Gives potential candidates a clear idea of what the job will entail and can therefore help them to decide whether or not to apply.

- Lets staff know the clear boundaries of their job and ensures they are clear on their areas of responsibility when they are in post within the Trust.

- Supports staff retention if designed accurately by ensuring that the expectations of applicants can be realised once appointed.

A template Job Description may be seen overleaf[26].

[26] *This template is not suitable for Medical Posts. A range of templates are available from the Recruitment & Selection Service for Medical Appointments.*

MPG1
TEMPLATE JOB DESCRIPTION[27]

JOB DESCRIPTION

JOB TITLE

BAND

DIRECTORATE

INITIAL LOCATION

REPORTS TO

ACCOUNTABLE TO

JOB SUMMARY

<Please insert a few sentences describing the key focus of the job>

KEY DUTIES / RESPONSIBILITIES

<Please insert details here. You should include elements relating to the both core dimensions i.e. Communications; Personal & People Management; Health & Safety; Service Improvement; Quality; & Equality and Specific Dimensions of the KSF Outline for the Job>

<**For senior level posts** the following headings are suggested; Modernisation; Information; Quality; People Management; collaborative working; Key Working Relationships; Professional Leadership; Information Management; >

<**For other posts** the following headings may be useful; Operational Delivery; Information Management; Key Working Relationships; Quality>

<The following standard wording should also be included>

HUMAN RESOURCE MANAGEMENT RESPONSIBILTIES
(*Include only for line managers)*

[27] *This template is not suitable for Medical Posts. A range of templates are available from the Recruitment & Selection Service for Medical Appointments.*

1. Review individually, at least annually, the performance of immediately subordinate staff, *MPG1* provides guidance on personal development requirements and advises on and initiates, where appropriate, further training.

2. Maintain staff relationships and morale amongst the staff reporting to him/her.
3. Review the organisation plan and establishment level of the service for which he/she is responsible to ensure that each is consistent with achieving objectives, and recommend change where appropriate.

4. Delegate appropriate responsibility and authority to the level of staff within his/her control consistent with effective decision making, while retaining overall responsibility and accountability for results.

5. Participate, as required, in the selection and appointment of staff reporting to him/her in accordance with procedures laid down by the Trust.

6. Take such action as may be necessary in disciplinary matters in accordance with procedures laid down by the Trust.

GENERAL REQUIREMENTS
(*to be inserted for all posts*)

The post holder will be required to:

1. Ensure the Trust's policy on equality of opportunity is promoted through his/her own actions and those of any staff for whom he/she has responsibility.

2. Co-operate fully with the implementation of the Trust's Health and Safety arrangements, reporting any accidents/incidents/equipment defects to his/her manager, and maintaining a clean, uncluttered and safe environment for patients/clients, members of the public and staff.

3. Adhere at all times to all Trust policies/codes of conduct, including for example:
    - Smoke Free policy
    - IT Security Policy and Code of Conduct
    - standards of attendance, appearance and behaviour

4. All employees of the trust are legally responsible for all records held, created or used as part of their business within the Trust including patients/clients, corporate and administrative records whether paper-based or electronic and also including emails. All such records are public records and are accessible to the general public, with limited exception, under the Freedom of Information act 2000 the Environmental Information Regulations 2004 and the Data Protection Acts 1998. Employees are required to be conversant with the Trusts policy and procedures on records management and to seek advice if in doubt.

5. Take responsibility for his/her own ongoing learning and development, including full participation in KSF Development Reviews/appraisals, in order to maximise his/her potential and continue to meet the demands of the post.

MPG1

6. Represent the Trust's commitment to providing the highest possible standard of service to patients/clients and members of the public, by treating all those with whom he/she comes into contact in the course of work, in a pleasant, courteous and respectful manner.

This Job Description will be subject to review in the light of changing circumstances and is not intended to be rigid and inflexible but should be regarded as providing guidelines within which the individual works. Other duties of a similar nature and appropriate to the grade may be assigned from time to time.

It is a standard condition that all Trust staff may be required to serve at any location within the Trust's area, as needs of the service demand.

<Insert Date of Development>

MPG2

THE PERSONNEL SPECIFICATION

The objective of any selection system is to choose the candidate who is best suited to the job and will be capable of performing well if appointed.

The Personnel Specification should describe the base level of knowledge, skills/abilities, qualifications and experience required to underpin long term successful performance in the job.

The Personnel Specification, along with the Job Description is used as a foundation throughout the recruitment and selection process, to facilitate shortlisting, to guide the content and conduct of interviews, and to inform the final selection decision.

Requirements laid down in the Personnel Specification should be:

- **Strictly relevant** to the job.
- **Measurable** - it should be possible to determine whether a candidate does or does not meet the requirements.
- **Independent** - criteria should not be listed more than once and should not overlap.
- **Justifiable** - if all requirements are strictly job related, they will be able to be justified.
- **Comprehensive** - all the knowledge, skills/abilities, qualifications and experience required to perform the job should be listed, but not to the extent that the Personnel Specification becomes unwieldy.
- **Specific** – all elements of the criteria should be clear and must not use words such as “recent” or “senior” without qualification of what this means and how it will be interpreted at the shortlisting stage. Preciseness at this stage will avoid criticism later.

The Personnel Specification is split into two parts – essential criteria and desirable criteria.

Essential criteria are those which are required as a minimum at the time an applicant takes up post. Desirable criteria should be directly linked to skills, training or experience which would allow the applicant to function fully once they have been in post for a period of time, and should be derived from the KSF Foundation Gateway requirements.

MPG2

In the event that the post is likely to be recruited for in advance of students obtaining final qualifications/professional registration (e.g. basic grade nursing or social work posts), the Personnel Specification should clearly state whether or not the Trust is willing to receive applications from those awaiting final results/appropriate registration.

A Template Personnel Specification may be seen overleaf.

MPG2
TEMPLATE PERSONNEL SPECIFICATION

PERSONNEL SPECIFICATION

JOB TITLE

DIRECTORATE

Ref No: <to be inserted by HR> **<Month & Year>**

Notes to applicants:

1. *You must clearly demonstrate on your application form how you meet the required criteria – failure to do so may result in you not being shortlisted. You should clearly demonstrate this for both the essential and desirable criteria.*
2. *Proof of qualifications and/or professional registration will be required if an offer of employment is made – if you are unable to provide this, the offer may be withdrawn.*

<Guidance on writing Personnel Specifications is available on the Intranet>

ESSENTIAL CRITERIA – *these are criteria all applicants MUST be able to demonstrate either at shortlisting or at interview. Applicants should therefore make it clear on their application form whether or not they meet these criteria. Failure to do so may result in you not being shortlisted. The stage in the process when the criteria will be measured is stated below;*

The following are essential criteria which will initially be measured at Shortlisting Stage although may also be further explored during the interview stage;

QUALIFICATIONS / EXPERIENCE

<Manager should insert criteria>

KNOWLEDGE & SKILLS

<Manager should insert criteria>

The following are essential criteria which will be measured during the interview stage.

<Manager should insert criteria>

MPG2

DESIRABLE CRITERIA – *these will only be used where it is necessary to introduce additional job related criteria to ensure files are manageable. Applicants should therefore make it clear on their application form whether or not they meet these criteria. Failure to do so may result in you not being shortlisted*

QUALIFICATIONS / EXPERIENCE

<Manager should insert criteria>

KNOWLEDGE, TRAINING & SKILLS

<Manager should insert criteria>

As part of the Recruitment & Selection process it may be necessary for the Trust to carry out an Enhanced Disclosure Check through Access NI before any appointment to this post can be confirmed.

WE ARE AN EQUAL OPPORTUNITIES EMPLOYER

Successful applicants may be required to attend for a Health Assessment

All staff are required to comply with the Trusts Smoke Free Policy

MPG3

GUIDANCE NOTES ON THE DEVELOPMENT OF THE JOB DESCRIPTION / PERSONNEL SPECIFICATION

ESSENTIAL CRITERIA

- You should state the Qualifications and Experience REQUIRED to do the job.

- You may need to consider particular skills or attributes required. For example ability to drive / have access to suitable transport ; communication skills; team working skills etc.

- All elements must be fully justifiable as basic entry requirements i.e. you could not satisfactorily do the job if you did not meet the criteria.

- You must state the requirements precisely and specifically. For example you must not use "suitable experience" rather it should state what you mean by "suitable" eg "experience in an administrative setting".

- You must be specific regarding qualifications and their status. For example if the qualifications are GCSE we would only regard Grades A-C as acceptable. This must be stated. If there is a requirement for specific subjects such as English Language / Maths you must state this (and be able to justify this requirement). In the case of other 3rd level qualifications such as Degree's/ HND's/ NVQ's etc. you need to state specifically the subject – it is not sufficient just to state the level of qualification. Unless the qualifications required are very specific to the job, criteria should include the words "or equivalent".

- If a qualification does not need to be held at the time of the closing date but for example it is sufficient to be working towards a qualification or be prepared to undertake on appointment then state this clearly.

- In the case of posts such as Nursing, Physiotherapists, Speech & Language Therapists etc. if you wish to include final year students you will need to state this by including provision for those due to qualify by a set date.

- You should avoid using time bound criteria such as "within the past 2 years" unless you can justify this. For example why could someone with the experience say 5 years ago could not do the job.

- When stating the stage at which assessment will take place remember you will not be able to assess "ability to…." at shortlisting. This is one for the interview stage.

- If the postholder is required to drive as part of the job then you should include the standard wording below.

- The information you include under that to be used at the shortlisting stage will be precisely how it should be used and will be that which will appear when using the Trusts e-shortlisting facility.

DESIRABLE CRITERIA

- Desirable criteria would normally describe the additional skills which would be a significant advantage but which are not essential requirements on entry to the job.

- You are free to insert desirable criteria which will only be used in the event of requiring additional job related criteria to support the management of large files

- You should order Desirable criteria in terms of its level of importance.

- There should be no more than 3 / 4 desirable criteria.

STANDARD WORDING

For posts requiring a Driving Licence;

- "Hold a full current driving license valid for use in the UK and have access to a car on appointment. *This criterion will be waived in the case of a suitable applicant who has a disability which prohibits them from driving but who is able to organise suitable alternative arrangements in order to meet the requirements of the post in full.*

MPG4

KNOWLEDGE & SKILLS FRAMEWORK (KSF) OUTLINE

The KSF provides a framework for measurement of performance once the person has been appointed. It provides for a set of core and specific dimensions to the job set at one of four levels with a range of indicators to describe what is expected of the individual.

The KSF outline will not only support the recruitment and selection process but will be the tool to support management of performance, as well as identification of learning and development needs once appointed.

The KSF outline should be realistic and relevant as this will form the basis of future pay progression of the appointee.

KSF Documentation can be found on the Trust Intranet site.

MPG5

GUIDANCE FOR THE CHAIRPERSON

As the Chair of the panel you have a responsibility to ensure that the interview is carried out in accordance with the Trust's Recruitment & Selection Procedure and that all relevant checks are carried out. You must complete the necessary **Checklists** and return along with the file to your recruitment & selection contact. Please ensure you read the following guidance and we also recommend that prior to the interview the panel take time to review the application forms for the shortlisted applicants in line with the requirements stated in the **Candidate Interview Checklist,** and make a note of any areas you feel need explored further at interview.

At the start of the Interview

- **Welcome** the candidate, thank them for coming and allow them to sit down and relax before starting.

- **Check Photographic ID** (as per Candidate Interview Checklist)

- **Introduce** candidate to the members of the panel by name and position.

- **Explain the overall process** to the candidate, ie
    - each panel member will ask them some questions;
    - while they are answering, the panel will be taking notes – they should try not to be put off by this;
    - interview will last approximately **?? mins**;
    - they will have an opportunity to ask questions at the end of the interview.

- **Explain details of the post they have applied (location; brief outline of duties etc.)**

During the Interview

- **Monitor the overall process and ensure the proper flow of questions between panel members.**
- **Ensure candidates are not asked any questions which could be seen as directly or indirectly discriminatory**

At the end of the interview

- Having reviewed the application form **explore unexplained gaps in employment** & clarify **reasons for leaving all previous posts** if not stated on application form (as per Candidate Interview Checklist)

- Clarify that the applicant has provided details of their current or most recent line manager for **reference** purposes (as per Candidate Interview Checklist)

- Ask for details of the candidate's **sickness absence** record (number of occasions, length of absences, reasons etc.) in the last 3-year period, and record on the Candidate Interview Checklist)

- Ask for details of any **previous criminal convictions/offences/cautions**, inc anything pending. Explain that nothing can ever be treated as 'spent' when applying for posts in the health service. If the candidate has declared criminal convictions, seek further clarification if details are vague (i.e. dates, brief account of offence, outcome/penalty etc.) and record on the Candidate Interview Checklist.

- Where a candidate has indicated they are referred to the ISA or to a professional body and are for example under investigation, explore this in detail to ensure the panel have a full understanding of the circumstances.

- Give the candidate an **opportunity to ask questions**, and answer these appropriately. If it is not possible to give an answer, take a note and ensure that the candidate is contacted after interviews.
  It is useful to provide the candidate with specific information about the post including
  - **the actual working hours of the post and any other requirements for eg on call**
  - salary **£ - £ per annum**
  - annual leave entitlement (eg. **27 days** as well as **10 statutory holidays)**

- Ensure **any candidate who has declared a disability** is given an opportunity to confirm if they require any adjustments if appointed to the post.

- Thank the candidate for attending and give them some indication of when the outcome will be known – should be within **7-10 working days**.

Interviewing Disabled Applicants

- Panels should be mindful of their duties in interviewing disabled applicants and in particular should ensure that any necessary adjustments for the interview process are provided. This may include the need for an interpreter (sign language), ensuring that the room has the appropriate lighting requirements, ensuring that the access arrangements are suitable etc.

- Panels should ensure that where an interpreter or support person is required to attend the interview the questions should continue to be directed to the applicant and all eye contact should be with the applicant.

- If appropriate the panel should note the need for reasonable adjustments if appointed, however detailed discussions should occur at a separate meeting after the interviews if required. This approach should be communicated to the applicant.

MPG 6

LINKING THE LQF TO CRITERIA IN PERSONNEL SPECIFICATIONS

In order to ensure that the Competency Based Interview (using the NHS LQF) is linked back to the based essential criteria as stated in the Personnel Specification, it is vital to be clear which of the LQF factors are assessing which of the criteria. This will support the development of questions which are appropriate to the post and ensure robust assessment.

The following is a sample for criteria at Band 8B Posts. Only 7 of the LQF factors are assessed in this model

CRITERIA FROM PERSONNEL SPECIFICATION	***LQF Factor Linked to for Assessment at Interview***
QUALIFICATIONS / EXPERIENCE	
1. Be an employee of the Southern Health & Social Care Trust.	o Shortlisting criteria only - Factual Information on Application Form
2. Hold a relevant[28] University Degree or recognised Professional Qualification in a business or health related field and 2 years experience in a Senior Role[29] OR have at least 5 years experience in a Senior Role[2].	o Self Belief o Self Management o Seizing the Future o Drive for Results
3. Have a minimum of 1 years experience in a lead role delivering objectives which have led to a significant[30] Improvement in Service.	o Seizing the Future o Drive for Results o Effective & Strategic Influencing
4. Have a minimum of 1 years experience working with a diverse range of internal and external stakeholders in a role which has contributed to the successful implementation of a significant[3] change initiative.	o Seizing the Future o Leading Change through people o Effective and Strategic Influencing
5. Have a minimum of 2 years experience in staff management.	o Leading Change through people o Holding to Account

[28] *'relevant' will be defined as a business or health related field*
[29] *'Senior Role' is defined as Band 7 or equivalent or above.*
[30] *'Significant' is defined as contributing directly to key Directorate objectives*

CRITERIA FROM PERSONNEL SPECIFICATION	
KNOWLEDGE & SKILLS	
6. Hold a full current driving license valid for use in the UK and have access to a car on appointment[31].	○ Shortlisting criteria only - Factual Information on Application Form
7. Have an ability to effectively manage a delegated budget to maximize utilization of available resources	○ Self Management ○ Holding to Account
8. Have an ability to provide effective leadership	○ Seizing the Future ○ Drive for Results ○ Leading Change through people ○ Effective & Strategic Influencing
9. Demonstrate evidence of highly effective planning and organisational skills.	○ Self Management
10. Demonstrate a commitment to the provision of high quality and safe services with an ability to drive a culture of continuous improvement	○ Self Belief ○ Drive for Results

Panels using the LQF should ensure that they have clearly identified how they will assess each criteria under the various LQF factors. Guidance on the key features of these elements of the LQF may be seen overleaf.

MPG 6

[31] *This criterion will be waived in the case of a suitable applicant who has a disability which prohibits them from driving but who is able to organise suitable alternative arrangements in order to meet the requirements of the post in full.*

LQF – Key Features of Qualities Stated

Qualities	Key Features of Quality
Seizing the Future	Features of this quality include' o Making the most of current opportunities to bring improvements o Being able to interpret the likely direction of change o Using insight into the broad strategic direction of health and social care to help shape and implement the approaches and culture in their organization and influence developments in the wider HSC context o Underpinning vision and actions with focus on local needs o Being prepared to undertake transformational rather than incremental change where this will achieve service improvement
Drive for Results	Features of this quality include; o Setting ambitious targets which may exceed the minimum standard required and taking calculated risks – all with the aim of delivering added value to the service o Focusing their own and others energy on what really makes a difference, rather than being constrained by methods which were used in the past o Actively seeking out opportunities to improve delivery of service through partnership and new ways of working.
Leading Change through People	Features of this quality include; o Gaining support of others by ensuring that they understand the reasons for change o Sharing leadership with the team and others o Encouraging others, especially front line staff, to find new ways of delivering and developing services to take the lead in implementation of change o Demonstrate a highly visible, authorative and democratic leadership style which is underpinned by strongly held valueds around equality, diversity and openness o Taking a collaborative or facilitative approach in working in partnership with diverse groups o Enabling teams within the organization and across the HSC community to work effectively together.

Drive for Results	Features of this quality include; ○ Setting ambitious targets which may exceed the minimum standard required and taking calculated risks – all with the aim of delivering added value to the service ○ Focusing their own and others energy on what really makes a difference, rather than being constrained by methods which were used in the past ○ Actively seeking out opportunities to improve delivery of service through partnership and new ways of working.
Collaborative Working	Features of this quality include; ○ Ensuring that the strategy for health improvement and the planning, development and provision of health services are cohesive and "joined up". ○ Understanding and being sensitive to diverse viewpoints ○ Striving to create the conditions for successful partnership working
Holding to Account	Features of this quality include; ○ Setting clear targets and standards for performance and behaviours, ensuring the processes are in place to support individuals in achieving these standards ○ Insisting upon improved performance if standards are slipping ○ Creating a climate of support and accountability rather than a climate of blame ○ Holding people to account for what they have agreed to deliver ○ Being prepared to be held to account by others for what they have contracted you to do as the leader
Self Management	Features of this quality include; ○ Being tenacious and resilient in the face of difficulty ○ Being able to cope with an increasingly complex environment – with the blurring of organizational boundaries and the requirement to work in partnership across the health & Social Care context
Self Belief	Features of this quality include; ○ Relishing a challenge ○ Being prepared to stand up for what they believe in ○ Working beyond the call of duty when this is required ○ Speaking up if this is needed. In doing so their integrity and their motivation for service improvement will sustain them.

APPENDIX 3

FLOWCHARTS (FC)

FC1

OVERVIEW OF PROCESS

FC2

AMENDED RECRUITMENT APPROVAL PROCESS FOR ACUTE SERVICES DIRECTORATE – JUNE 2010

FC3

APPROVAL PROCESS – ALL DIRECTORATES EXCEPT ACUTE SERVICES

FC4

Persons Identified as requiring redeployment[1] and EER advised of such by ADHR / redeployment identified by RPA Manager
1:1 meeting arranged by EER / RPA Manager
Meeting held to explain scenario; discuss placement on redeployment list and complete form
EER / RPA Manager Record details on Redeployment Register[2]
R&S View Register as vacancy requisitions arrive and check for match
Yes
No
Refer to contact person in EER / RPA Manager
Proceed to fill vacancy through normal process
EER / RPA Manager meet or make contact with individual to share Job Information
No
Individual indicates interest within 3 working days[3]
Not interested
Interested
EER / RPA Manager arrange meeting with manager. Final decision of individual to be received within 2 working days of meeting
Yes
Individual Redeployed
Vacancy Filled
Manager and R&S advised by EER / RPA Mgr

FC4

NOTES

[1]This means that the individual's current post has been declared at risk and the individual has been notified of this.

[2]This will be an excel spreadsheet in a shared folder accessible by EER, R&S and RPA Manager. It will contain the following fields;

- Staff No.
- Name
- Current Band
- Current Staff Group (i.e. A&C; A&G; Nursing etc)
- Driving Licence & Access to a Car
- Staff Group (s) willing to move consider
- Reason for Redeployment
- Professional Qualifications Held
- Geographical area willing to work within (i.e. Armagh, Dungannon, Newry, Craigavon, Banbridge)
- Hours willing to work (Maximum and Minimum)
- Employment Status
- Contact Person in EER / RPA
- Contact Persons Phone number
- Contact Persons Email Address

[3] For the purpose of this process, working days will be taken as week days i.e. Monday to Friday.

FC5

FLOWCHART FOR WAITING LIST CHECKS

FLOWCHART OF HCR ACTION THROUGH RECRUITMENT PROCESS

FC6

RECRUITMENT TEAMS

NOTES:

1. At any time, if a manager contacts you to ask for a 'hold' to be put on the recruitment of a post, it is important that you update the status of the e-requisition to **'Held by Manager'**. This will show that any delays in appointing someone to this post, were not due to Recruitment Services.
2. Similarly, if a manager contacts you to ask for a post to be withdrawn altogether, it is important that you update the status of the e-requisition to **'Withdrawn by Manager'** to show that no further action is required. You must also mark the requisition as being 'fulfilled' (i.e. go into the requisition page and click the 'Fulfilled' box so it shows a tick).

APPENDIX 4

CHECKLISTS (C)

C1

CANDIDATE INTERVIEW CHECKLIST

TO BE COMPLETED BY THE CHAIRPERSON

Name of Applicant: _____

The Chairperson is responsible for ensuring that a number of essential checks are carried out on applicants attending for interview. PLEASE NOTE THAT FAILURE TO CARRY OUT THESE CHECKS MAY RESULT IN A DELAY PROCESSING THIS FILE.

Please tick to confirm that each of the following checks has been carried out for the above applicant, and record details of supplementary information obtained. You must record reasons if the applicant fails to meet any of the requirements.

Requirement	Please record YES / NO to confirm whether the applicant has met each requirement	**Comments:** *Please detail below if the applicant has failed to meet the requirements, including reasons. Please also record details of all supplementary information obtained.*
Proof of Identify Did the applicant provide proof of ID, ie photographic ID (either current & valid driving licence, Passport, Electoral Identity Card, or Citizen Card)		
Appropriate References Has the applicant provided details of two references, one of whom must be from their current or most recent employer and in a managerial capacity?		
Reasons for Gaps in Employment Has the applicant had any gaps in their employment and if so has he/she provided reasons for these?		
Reason for leaving previous employments Has the applicant provided reasons why he/she left each of their previous posts of employment?		
Medical History Refer to the application form and ask the applicant to confirm details and dates of sickness absences over the past 3 years?		
Criminal Convictions / Offences Refer to application form and ask the applicant to confirm if they have any previous convictions, prosecutions, cautions, bindovers. Ensure applicant understands that such can never be treated as spent when applying for posts in the health service.		

Requirement	Please record YES / NO to confirm whether the applicant has met each requirement	**Comments:** *Please detail below if the applicant has failed to meet the requirements, including reasons. Please also record details of all supplementary information obtained.*
Professional Registration Refer to application form; If the applicant has declared any pending investigation or issues on application form, check current status and give them the opportunity to comment further. If the applicant has declared nothing pending at time of application, ask if this remains accurate.		
ISA Refer to application form; If the applicant has declared any pending investigation or issues on application form, check current status and give them the opportunity to comment further. If the applicant has declared nothing pending at time of application, ask if this remains accurate.		
Opportunity to Request Adjustments If the applicant has declared a disability give them an opportunity to confirm any adjustments they may require if appointed to the post.		

Signature of Chairperson: _____

Date: _____

APPENDIX 5

FORMS (FM)

Southern Health and Social Care Trust

FM1

SHORTLISTING FORM

File Reference	
Job Title including Band	
Shortlisting Date	

BEFORE PROCEEDING WITH THE SHORTLISTING THE CHAIRPERSON MUST CONFIRM THAT ALL PANEL MEMBERS HAVE BEEN TRAINED WITHIN THE LAST 3 YEARS IN RECRUITMENT & SELECTION PROCEDURES – PLEASE ANSWER THE QUESTION BELOW;

GOVERNANCE QUESTIONS				
Have all panel members been trained in R&S Practice by the Southern Health & Social Care Trust within the past 3 years?	**YES**		**NO**	

Advisory note to panel Chairperson - it is also the responsibility of the panel chairperson to ensure that the panel is appropriately balanced as far as is reasonably practicable (gender and community background in particular). If you need to confidentially verify the balance of your panel in terms of community background please contact the Equality Assurance Unit on 028 3831 6691. Please provide the panel details as follows;

Name of Panel Member	Job Title, Band & Work Base	Contact Telephone Number	Approximate Date of last R&S Training by SHSCT (Month & Year)

NO-ONE CAN PARTICIPATE IN THE RECRUITMENT & SELECTION PROCESS UNLESS THIS REQUIREMENT CAN BE MET. IN THE EVENT OF A PROPOSED PANEL MEMBER NOT HAVING UP TO DATE TRAINING THEY SHOULD NOT PARTICIPATE FURTHER AND AN APPROPRIATE ALTERNATIVE PANEL MEMBER IDENTIFIED.

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APPLICANT NAME	Shortlisting Criteria						Shortlisted (mark one box)	
							Yes	No
	Comments:							
	Comments:							
	Comments:							
	Comments:							
	Comments:							

PLEASE USE ADDITIONAL PAGE AS NECESSARY……

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GOVERNANCE QUESTIONS				
It has been confirmed that none of the panel are related to any of the applicants.	**YES**		**NO**	
It has been confirmed that none of the panel have any close personal or private business relationships with any of the candidates that could call into question their impartiality.	**YES**		**NO**	

PANEL MEMBERS NAME (Please print clearly)	PANEL MEMBERS SIGNATURE
(Chairperson)	
DATE	

Southern Health and Social Care Trust

FM2

REPORT OF SHORTLISTING OUTCOMES

Date of Planned Interviews **(Please allow a minimum of 7 working days unless interview date was stated on the advert).**	
Venue (please ensure this is booked by the panel)	
SCHEDULE OF CANDIDATES	
Please state start time for 1st applicant	
Please state duration of interview e.g. 30 mins	
Please advise if you require time between each candidate e.g. 5 mins	
Please state breaks required and duration (i.e. Tea/Coffee & Lunch)	
Do any candidates have a disability requiring specific arrangements for interview?	
PREPARATION FOR INTERVIEWS	
Is there to be a job related test? If so please provide details.	
If there is to be a job related test the panel are fully responsible for preparation of this and facilitation on the day. Advice may be sought from R&S Services. A copy must be provided to R&S Services for retention on file including model answer.	
Is there to be a presentation? If so please state Title	
Is the presentation seen (notified to candidate in invite to interview letter) or unseen (prepared on the day prior to interview in test conditions)?	
If powerpoint is to be available please state version of powerpoint to be available.	
It is the responsibility of the panel to book the appropriate venue, equipment and arrange for someone to facilitate the preparation time.	

A template Interview Assessment Sheet and Guidance on Assessment is available for your use at interviews on the Trust's Intranet, under Human Resources, Recruitment /Forms Section.

Name of Chairperson: _____

Signature of Chairperson: _____

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and Social Care Trust

Date: _____

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INTERVIEW ASSESSMENT FORM – STANDARD QUESTIONS

FM3

Questions	Weighting* (x1,x2,x3)	Key Areas of Response
Panel Member - <Name> ***<Factor Being assessed>*** **<Question>**		

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*Scoring Scale Guidance Each candidate is allocated a score on the basis of a 0-10 rating scale, as shown	0 – 3	Weak Response
	4 – 6	Reasonable Response
	7 – 10	Good Response
Further guidance is included in the job file		

CANDIDATE ASSESSMENT FORM

FM4

Post: _____ **Location:** _____

Candidate Name: _____ **Panel Member:** _____

Questions	Candidate Response	All Questions are Scored out of 10 Weighting may be applied if required		
		A Score Awarded* (0-10)	B Weighting Applied (x1,x2,x3)	Total Score (AxB)

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Questions	Candidate Response	All Questions are Scored out of 10 Weighting may be applied if required		
		A Score Awarded* (0-10)	B Weighting Applied (x1,x2,x3)	Total Score (AxB)

	Available	Scored
Overall Total Score		
Overall Total Score verified by a second panel member		

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INTERVIEW ASSESSMENT BOOKLET
(for use with the LQF assessment method only)

<POST TITLE>

This booklet must be completed by each panel member for each candidate

Candidate's Name: _____

Interview Date: _____

Panel Member _____

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FM 5

INTERVIEW ASSESSMENT – SUMMARY SCORES

Candidates Name:		**Panel Member:**	
Factors	**Quality**	**Marks Available**	**Marks Awarded**
Question 1			
Question 2			
Question 3			
Question 4			
Question 5			
Question 5			
Question 7			
Question 8			
Question 9			

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FM 5

Panel Member – <Name>

Marks Available	LQF FACTOR BEING ASSESSED
Question 1:	
Marks Awarded	

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SUMMARY SCORE SHEET

FM6

JOB TITLE: **REF:**

IMPORTANCE NOTE: ***Please ensure that all scores calculated for each candidate are double checked, as errors can impact on the overall outcome. We recommend cross checking of scores by another panel member as best practice.***

CANDIDATE NAME	Interviewer A		Interviewer B		Interviewer C		OVERALL RANK
	Score	Rank	Score	Rank	Score	Rank	

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INTERVIEW OUTCOME FORM

Job files cannot be processed until this form has been completed in full.

Title of Post _____ **Ref No** _____

Date of Interview _____

Location of Interview _____

Applicant(s) to be appointed	**Hours**	**Location**
1		
2		
3		
4		
5		
6		
Reserve(s)		
1		
2		
3		

Please indicate if you wish to create a waiting list. If yes please note that applicants appointed as reserve will also be placed on the waiting list. **Yes** ☐ **No** ☐

Waiting List (in order of priority)

1 _____ 5 _____

2 _____ 6 _____

3 _____ 7 _____

4 _____ 8 _____

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Continued overleaf…

INTERVIEW OUTCOME FORM

Referee Reports

Recruitment & Selection will ensure that two written references are obtained (including one from the most recent employer and where there has been NHS / HSC employment always to include one from that employment). On receipt of the references recruitment staff will carry out detailed checks and cross referencing.

In the event that a reference is not entirely favourable and/or if there are any discrepancies of concern either in the content itself or because of the cross checking against the application form (e.g. sickness history, employment history, reason for leaving employment etc), we will bring this to the immediate attention of the panel.

In this regard, please choose one of the following options

The panel only wish to view those references which are not completely favourable or where there are any discrepancies of concern ☐

The panel wishes to view all of the references when they arrive ☐

Please tick to confirm that all documentation used during the interview process has been completed and returned on file, including interview assessment sheets for all candidates and a separate copy of the questions and expected answers. **YES** ☐

Candidates who did not attend interview

1 _____

2 _____

3 _____

PANEL MEMBERS	SIGNATURE
_____	_____
_____	_____
_____	_____

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APPENDIX 6

MANAGEMENT OF DISCLOSURE INFORMATION FROM ACCESS NI

General Principles

The Southern Health & Social Care Trust (hereafter referred to as 'The Trust') is a Registered Body (RB) with Access Northern Ireland (ANI), who are responsible for the provision of 'Disclosure' information regarding the suitability of applicants to work with Children and / or Vulnerable Adults.

As an organisation using Access NI to help assess the suitability of applicants for positions of trust, the Southern Health and Social Care Trust complies fully with Access NI's Code of Practice regarding the correct handling, use, storage, retention and disposal of Disclosure Applications and Disclosure Information. We also comply fully with our obligations under the Data Protection Act 1998 and other relevant legislation pertaining to the safe handling, storage, retention and disposal of Disclosure information.

Storage and Access

Disclosure information is kept securely in lockable, non-portable storage containers with access strictly controlled and limited to those who are entitled to see it as part of their duties.

Handling

In accordance with section 124 of the Police Act 1997, Disclosure information is only passed to those who are authorised to receive it in the course of their duties. We maintain a record of all those to whom Disclosures or Disclosure information has been revealed and it is a criminal offence to pass this information to anyone who is not entitled to receive it.

Usage

Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.

Retention

Once a recruitment (or other relevant eg regulatory or for licensing purposes) decision has been taken, we do not keep Disclosure information for any longer than is necessary. Information will not be retained but destroyed once a decision, recruitment or otherwise has been made. We will not keep any

photocopy or other image of the Disclosure or any copy or representation of the contents of a Disclosure or any other relevant non-conviction information supplied by police but not included on the Disclosure. However, we may keep a record of the date of issue of a Disclosure, the name of the subject, the type of Disclosure requested, the position for which the Disclosure was requested, the Access NI unique reference number of the Disclosure Certificate and the details of the recruitment decision taken.

Disposal

Once the retention period has elapsed, we will ensure that any Disclosure information is immediately destroyed by secure means ie by shredding, pulping or burning. While awaiting destruction, Disclosure information will be retained securely.

Data Protection Act (DPA)

The Trust also has responsibilities under the Data Protection Act in respect of Disclosure Certificates.

The DPA regulates how personal information is used and protects individuals from misuse of their personal details. It provides a common-sense set of rules which prohibits the misuse of an individual's personal information without stopping it being used for legitimate or beneficial purposes.

The DPA principles require personal information to be:

- *Fairly and lawfully processed*
- *Processed for limited purposes*
- *Adequate, relevant and not excessive*
- *Accurate*
- *Not kept longer than necessary*
- *Processed in accordance with individual rights*
- *Kept secure*
- *Not transferred abroad without adequate protection*

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PROTOCOLS FOR THE SAFE HANDLING OF DISCLOSURE INFORMATION

To ensure compliance with Access Northern Ireland's (ANI) Code of Practice and with the Data Protection Act (DPA) 1998 legislation and any other relevant legislation pertaining to the safe handling, storage, retention and disposal of Disclosure information, the following protocols must be followed at all times.

- The Trusts Lead Counter signatory, will be ANI's principal point of contact on all matters related to the registration and use of the Disclosure service. The exception is that results of individual Disclosure applications will be sent to the individual who counter-signed the application. However, it is the responsibility of all staff with access to this information in the course of their duties to ensure the safe handling of all Disclosure information in accordance with the Trusts Policy.

- A flow chart outlining the process for handling Disclosure information in the recruitment process is seen overleaf.

- A secure database with restricted access has been designed to record details relating to all Disclosure information received by the Trust. Countersignatories will be responsible for ensuring this information is up-to-date at all times. No photocopy or other image of the Disclosure may be retained, nor must any copy or other representation of the contents be made or kept.

- Disclosure information must be kept securely and only those entitled to see it in the course of their duties should have access.

- The Lead Signatory will ensure procedures are in place to carry out regular audit checks on all processes involved in the Handling, Security, Storage, Retention and Disposal of all Disclosure information.

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Process for the safe handling, storage, retention and disposal of Disclosure information

Access NI Spreadsheet to be updated at all times