Wrightington, Wigan and Leigh Teaching Hospitals
NHS Foundation Trust

STANDARD OPERATING PROCEDURE	**Recruitment and Selection Procedure**
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The WWL Way

Version Control

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2	Nov 23	No amendments made

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1 INTRODUCTION

1.1 General Principles

1.1.1 The Trust recognises that quality and timely recruitment procedures are key to delivering safe and effective patient care.

1.1.2 This Standard Operating Procedure (SOP) should be read alongside the Recruitment and Selection Policy and explains how to manage recruitment fairly and in compliance with relevant legislation and national guidelines including:

1.1.2.1 NHS Employment Check Standards;
1.1.2.2 CQC Standards applicable to recruitment (regulation 5 and 19);
1.1.2.3 Department of Health Guidance of Substantive Consultant Recruitment;
1.1.2.4 NHS Employers Guidance;
1.1.2.5 AFC terms and Conditions Handbooks.

1.1.3 This SOP applies to all Trust recruitment including Executive, Non-executive, Consultant and Clinical Lead recruitment.

1.1.4 Non-executive and Clinical Lead positions will be appointed for a three year tenure, and may be extended for a further three years. Acting-up in the absence of a Clinical Lead position can be for a period of six months, and may be extended for a further six months, for example to cover for maternity leave, or long term absence.

1.1.5 There is no mandatory requirement for Clinical Lead applicants to be from the specialty to which they are applying.

1.1.6 Where external providers such as Agencies and Head Hunters are to be involved in a Recruitment process, Recruiting Managers should liaise with the Recruitment Manager to understand where the Recruitment Team can continue to complement the process, and how TRAC should be utilised to facilitate such appointments.

1.1.7 Requests for exceptions to the application of this SOP must be agreed by the Divisional Senior HR Business Partner, or the Trust Recruitment Manager. In some cases it may also be appropriate to obtain agreement from the Medical Director, e.g. for Consultant Recruitment.

1.1.8 Recruitment Timescales (KPIs) quoted are subject to change periodically, outside of the formal policy review cycle, according to recruitment volumes, and circumstances within the Recruitment Team.

1.1.9 Training and advice on the application of the SOP should be sought from Divisional Recruitment Officers in the first instance.

1.1.10 Those involved in the recruitment process must declare to the Recruiting Manager if they become aware that any candidate is known to them, so that any conflict of interest can be established, and roles reviewed if appropriate.

1.2 TRAC Recruitment System

1.2.1 The TRAC Recruitment system is specifically designed for recruitment in the NHS, and supports us to meet our legal obligations and national guidance relating to recruitment.

1.2.2 The TRAC Recruitment System must therefore be fully utilised in the processing of all recruitment activity within the Trust, as outlined within this SOP, which will ensure consistency and maximise efficiency in the recruitment process.

1.2.3 This SOP will outline how recruitment is processed within WWL, but will provide links to relevant sections of the TRAC user guide where possible. An overview page of all user guides, is available here including quick links and video tutorials for recruiting managers, and are updated frequently, each time the system is updated. All users are recommended to familiarise themselves with the available user guides that are available within TRAC, and must be logged in to the TRAC system to view these guides.

1.2.4 TRAC users have a personalised screen which displays, after logging-in to the system, all vacancies they are associated with, according to the stage of the process they are at either approval, longlisting (advertising), shortlisting, interview, offer, or outcome. Further information on what you can see, and how to navigate the system are available via this TRAC user Guide.

1.2.5 TRAC functionality is based on moving first candidates, and then vacancies through the stages or ‘gateways’ of the recruitment system, as mentioned in 1.2.4.

1.2.6 Each vacancy requires a Recruiting Manager (RM) to be named within the system to lead the recruitment activity as outlined within this SOP. This is usually the line manager of the vacant post, or may be the Clinical Supervisor, particularly in the case of Foundation Trainees. The Clinical Director or Deputy Director of Performance are responsible for identifying the most appropriate colleague to act as Recruiting Manager and therefore lead Consultant and Clinical Lead vacancies.

1.2.7 A Recruitment Officer is also named on each vacancy who will administer the overall recruitment process. A Recruitment Assistant will administer pre-employment clearances, but are not named within a vacancy. Please refer to the intranet (WALLY) for current contact details.

1.2.8 The Recruitment Officer will work in partnership with the Recruiting Manager to deliver a successful recruitment campaign aligned to the needs of the service, and in compliance with this SOP, and the Recruitment and Selection Policy.

1.2.9 TRAC supports effective workload management within the Recruitment Team by displaying all recruitment activity in the form of a RAG rated dashboard system, which Recruitment Officers and Assistants use to organise their work on a daily basis, according to this TRAC User Guide.

1.2.10 TRAC generates a full audit trail of all recruitment activity and communications, visible to both Recruitment Managers and Recruitment Team members.

2 PROCEDURE STAGE 1 – PREPARATION AND VACANCY REQUEST

2.1 Preparation – Recruitment Requirements

2.1.1 The Recruiting Manager (RM) will consider the needs of the service in order to decide on recruitment requirements. Some important considerations may include:

2.1.1.1 Is it appropriate to recruit a direct (like for like) replacement, or consider alternatives. If a new post is to be established, a business case will be required, prior to commencing the recruitment process. Please liaise with finance colleagues for advice on formulating a business case;

2.1.1.2 Admin and clerical posts within band 1 to 4 should be recruited on a maximum of 35 hours per week, unless there is a business reason for recruiting on 37.5 hours, which must be detailed within the vacancy request for approval within the TRAC system;

2.1.1.3 Are Recruitment Documents up to date. Please refer to section 2.2 for further information about recruitment documents;

2.1.1.4 Is it appropriate to recruit on a permanent or fixed term basis;

2.1.1.5 If recruitment is on a fixed term basis, there may be redundancy implications in the future, and a secondment should be considered instead. The Recruiting Manager should seek advice from their HR Advisor or Senior HR Business Partner before progressing a fixed term vacancy.

2.1.2 The Recruiting Manager should consider their anticipated recruitment timeline, in particular shortlisting and interview dates, holding diary time in advance, and including these dates within the TRAC Vacancy Request.

2.1.3 The Recruiting Manager should also consider the selection methods required to assess and select the best candidate for the role, and identify key stakeholders required in the process.

2.1.4 Consultant Recruitment will usually require approval via the relevant Royal College, which the Recruitment Officer will facilitate and the Recruiting Manager must consider this when planning recruitment timelines.

2.2 **Recruitment Documents**

2.2.1 The Recruiting Manager will ensure that the job description and Person Specification are displayed on the current template, available via the intranet (WALLY) here. This is to provide consistency of documentation in line with Trust branding, and also to ensure certain statutory clauses are included.

2.2.2 The job description should accurately describe the duties and level of responsibility required of the role.

2.2.3 The person specification should list the essential and desirable criteria for the post, usually divided into four categories – qualifications, experience, skills and knowledge. A fifth category titled 'additional' must include the fluency duty clause for patient facing roles, and may also contain criteria regarding the attributes of the successful candidate. Care must be taken to ensure that any criteria are not discriminatory.

2.2.4 Essential criteria are the minimum qualifications, skills, knowledge and experience required to be able to enter and undertake the role.

2.2.5 Desirable criteria are the 'nice to have' criteria that would make a candidate particularly suitable for the role.

2.2.6 Criteria within the person specification should be accurately categorised within the qualifications, skills, knowledge and experience fields. Where CPD (continuing Professional Development) is a criteria, it should be categorised within the knowledge category, for assessment by the interview panel.

2.2.7 Please describe qualifications accurately, and using current terminology. For example RSA has been superceded by OCR and 'NVQ' or 'Diploma' are too general. The level and subject matter of such qualifications are also required. Consideration should be given as to whether an equivalent level of experience might also be acceptable, and if so, this must be included within the Person Specification prior to advertising. Failure to do so could lead to potentially suitable applicants deselecting themselves from the process.

2.2.8 If changes or updates are required to existing recruitment documents for AfC posts, these must be evidenced using the 'track changes' functionality within word. Please send the documents to the AfC lead within the Union Office, for the banding to be confirmed, following such changes, and before proceeding with a new vacancy request.

2.2.9 The Recruiting Manager is required to confirm when their job description and person specification was banded, within a vacancy request. Recruitment cannot commence until the AfC payband has been confirmed, and this should be considered in terms of planning overall time to recruit, and associated back-fill costs.

2.2.10 For Consultant and SAS positions, the Job Plan must also be prepared in advance, in line with National Terms and Conditions.

2.3 **TRAC Access**

2.3.1 Access to the TRAC system is required for staff members involved in the recruitment process (including any nominated deputies).

2.3.2 Access to TRAC can be requested via the 'TRAC System Access Request Form' available via the intranet (WALLY) here.

2.3.3 Those requesting access to TRAC must be prepared to confirm familiarity with the current version of the Recruitment and Selection Policy, and complete the Trust online Recruitment and Selection e-learning module, prior to requesting TRAC access.

2.3.4 Recruiting Managers can nominate a deputy to action Recruitment on their behalf within the system, however the above provisions 2.2.1 to 2.2.3 also apply to nominated delegated access requests.

2.3.5 TRAC access will be managed by the Recruitment Team according to this TRAC User Guide.

2.3.6 The Recruitment Team will monitor monthly leavers reports, provided by the workforce information Team, and terminate TRAC access according to this user guide.

2.3.7 Please note that TRAC is not compatible with old versions of Interview Explorer (IE 10 and older). The system works best on Google Chrome or Firefox available on request from the IT Services Team, supported by a Request for Change submitted by the Recruitment Team in May 2014.

2.4 **Vacancy Request and Approval**

2.4.1 Following consideration of the points outlined in 2.1 and 2.2 the Recruiting Manager (or a nominated deputy, such as a secretary) can initiate recruitment by raising a new vacancy request via the TRAC system according to this TRAC User Guide in combination with the guidance outlined below. A helpful ‘how to’ video is also available here.

2.4.2 On the first ‘Vacancy Request’ screen select WWL as the Employer, and the appropriate department as follows:

2.4.2.1 Agency Requests – to be used if requesting approval to cover a vacant post with a temporary agency worker. Note that TRAC is only used as an appraisal mechanism and agency workers should still be sourced by a Recruiting Manager following appropriate Procurement procedures;

2.4.2.2 Apprentices – To be used if the request is for an apprentice role;

2.4.2.3 Executive and NED Appointments – to be used for all director and non-executive director roles including deputy and associate director role;

2.4.2.4 General Staffing – to be used for all other AFC roles;

2.4.2.5 Medical Staffing – to be used for all medical roles except substantive consultants;

2.4.2.6 Substantive Consultant – to be used for all substantive consultant recruitment;

2.4.2.7 All other categories are for Recruitment Team use only.

2.4.3 It is important to select the correct employer and department, as this will influence the communications templates that are available to the Recruitment Team when processing the vacancy.

2.4.4 Next select the grade of the post, and the applicable disciplines and specialties. Multiple specialties can be selected if applicable.

2.4.5 As the employer, department and grade/band fields are populated, the system will display recent vacancies which match these criteria. If appropriate, these previous vacancy requests can be used as a template for this new vacancy request. Using a template will pre-populate most fields of the vacancy request, although the Recruiting Manager must check all fields thoroughly to ensure they remain accurate for this new vacancy request.

2.4.6 Next click continue, and a full Vacancy Request form will open, containing multiple tabs. Please complete as many of the fields as possible, considering the guidance below.

2.4.7 From this point, the requestor can click save at any time to save the form and return to it later.

2.5 **Tab 1 – Vacancy Request**

2.5.1 Cost Code – start to type the name of your ward or department and the matching departments and budget codes will be automatically displayed. Budget codes are downloaded from ESR into TRAC once a month. If your budget code does not appear, please contact the Recruitment Team for advice.

2.5.2 Job Ref – can be left blank as this will be allocated by the Recruitment Team.

2.5.3 Reason for Vacancy request – please select the most appropriate option from the drop-down list. Replacement posts will require the current or previous post holder to be named and the date they resigned.

2.5.4 Where is the funding being generated? – please detail how the post will be funded, with reference to the Workforce Expenditure Panel Protocol. If there is a requirement to replace a post within bands 1-4 on 37.5 rather than 35 hours per week, this should also be detailed here.

2.5.5 AFC banding – please state when the banding of the post was confirmed via the Agenda for Change process. Any subsequent changes may require re-confirmation of banding which may delay the recruitment process. The Recruitment Team will work in partnership with Staff Side colleagues to confirm this.

2.5.6 Fixed Term Vacancies - where a vacancy request is for a fixed term post, the reason for the post being fixed term, and the end date of the post must be confirmed within the vacancy request, as these details will be quoted in offer letters, and the contract of employment, and may be relied upon to establish any potential redundancy entitlements payable when the contract ends.

2.5.7 Senior HR Business Partners approving requests for fixed term contracts will usually contact the Recruiting Manager to ensure they are aware of the potential redundancy risk that may result in the event that the successful candidate has NHS Service, and ensure they are aware of the need to prompt the candidate to request permission to take up the post on a secondment basis, to minimise the potential redundancy risk.

2.5.8 Recruitment Document Templates – It is important to use current templates so that Trust branding is incorporated correctly, and to ensure legal and statutory clauses are included.

2.5.9 Shortlisting date – it is best practice to diarise time to complete shortlisting at the point of raising the vacancy request, to provide a good experience for candidates, meet Trust KPI’s (5 days for shortlisting) and ensure that candidates aren’t lost to other employers.

2.5.10 Recruitment and Retention Premia – For ‘hard to recruit’ posts, it may be appropriate to advertise including a recruitment and retention premia to attract candidates. R&R premia must be approved, as outlined within the WEP (Workforce Expenditure Panel) Protocol prior to advertising, and will usually be subject to a mandatory repayment period.

2.5.11 Position Numbers – is split into two fields. Please leave position number blank, but complete the WTE field as follows:

2.5.11.1 For agenda for change posts, divide the number of hours available by 37.5 to obtain the WTE value as a decimal. For Medical posts divide the hours available by 40;

2.5.11.2 Where a request is for a zero hours appointment (for non-medical staff), state WTE as 0.1 and use the vacancy notes to outline the expected work pattern, and duration of the arrangement. Please note that regular hours each week for a period of 3 months or more should be processed as a fixed term rather than a zero hours request;

2.5.11.3 Zero hours requests for Medical staff will be directed to join the NHSP bank;

2.5.11.4 Where a vacancy is for a Consultant or SAS Doctor to be paid in sessions rather than hours, any additional sessions for on-call should be reflected in the WTE included on the vacancy request e.g. 12 PA’s is equivalent to 1.2 WTE, but note that any additional PA’s must be agreed with the successful candidate in accordance with schedule 6 of the Consultant Terms and Conditions Handbook.

2.5.12 Advertising Scope – should usually be set to public. Section 3.1 contains further information about the range of advertising methods available within this category.

2.5.13 Setting the advertising scope to internal will restrict applications to current WWL employees, or those who can demonstrate they are with the Trust in some other capacity, such as a student on an organised placement as part of their studies.

2.5.14 Restricted advertising scope is for Recruitment Team use only.

2.5.15 The minimum required authorisation level is:

2.5.15.1 Divisional Director of Performance or equivalent;

2.5.15.2 Divisional Finance Manager;

2.5.15.3 Senior HR Business Partner;

2.5.15.4 ESR Work-structures Lead[1].

2.5.16 Some areas may locally agree that additional approvers should be included, such as Head of Nursing or Clinical Directors. Vacancy requestors are responsible for ensuring any additional approvers are included. This will not be monitored by the Recruitment Team.

2.5.17 Authorisers may delegate their responsibility for authorising vacancies, for example prior to a period of annual leave, and this must be communicated to the Recruitment expressly in writing.

2.6 **Tab 2 – Advert Details**

2.6.1 Show Header and Footer – please select this to view the Trust standard advert header and footer, to avoid duplication of information within the role specific section of the advert.

2.6.2 Advert - draft or amend any existing advertising text. It is important to ensure that the advert is of good quality, with accurate content in order to attract appropriate candidates to the role. Guidance on writing a good recruitment advert is available via the intranet (WALLY) here.

2.6.3 Further details / informal visits – please include contact details for the most appropriate person to answer any questions about the vacancy, ensuring they will be available for the duration of the advert – note any planned leave within the vacancy notes.

2.6.4 Salary – current salary scales can be obtained via the NHS Employers website.

2.6.5 Specialty – please insert the most appropriate description to describe the role.

2.6.6 Hours – include the hours available per week, and you may also wish to clarify whether these are to be worked over 5 or 7 days. Details of shifts patterns should be included in the advert where possible.

2.6.7 Payslip address can be left blank.

2.6.8 DBS Check required – it is very important to select the correct level of DBS check at Vacancy Request stage, based on the role, and patient contact involved. It is illegal to request inappropriate checks. Please seek advice from the Recruitment Team if required.

2.6.9 UK Professional Registration - please select the most appropriate option from the drop-down list.

2.6.10 Occupational Health requirement – please don't alter this field, as occupational health clearances are processed separately via the cohort system.

2.6.11 Advertising dates – please select your desired advertising start and end dates, considering any planned leave, and the impact of any weekends or public holidays during the advertising window. Note that Tuesdays are statistically the busiest for NHS job seekers.

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[1] Note: The role of the ESR Work Structures lead is to allocate an ESR position number, to facilitate the interface between TRAC and the Electronic Staff Records (ESR) System. Their role therefore is not actually approval, but this is the mechanism used to notify them of each vacancy requiring a position number.

2.6.12 Interview date – it is best practice to plan interview dates at the point of raising the vacancy request, and include within advertising text to maximise the potential that shortlisted candidates are available to attend.
2.6.13 Counties – should be automatically set to Lancashire.
2.6.14 Disciplines – can be adjusted at this point if required.
2.6.15 Staff Group – it is important to select the correct staff group from the drop down list for advertising and reporting purposes.

2.7 **Tab 3 – Documents**

2.7.1 The Recruiting Manager is responsible for ensuring that the advert text, job description and person specification are in the correct template, of good quality and accurately reflect the job role, before uploading them to the vacancy. For non-medical roles, any changes required to job description and person spec contents must be confirmed with the Agenda for Change lead and this may extend recruitment timescales.
2.7.2 Consultant Job Descriptions much also contain an indicative job plan drawn up in line with National Terms and Conditions.

2.8 **Tab 4 – Longlisting**

As per section 3.2, longlisting is not recommended. Managers wishing to use this functionality can adjust the pre-set criteria, sorting applications in up to 6 categories, which must be based on the essential criteria for the role.

2.9 **Tab 5 – Shortlisting**

2.9.1 The Recruiting Manager is responsible for nominating the most appropriate representatives to be involved in the Selection Process, and name them within the shortlisting tab.
2.9.2 In some cases it may be appropriate for external representatives to form part of an interview or assessment panel, for example where the successful candidate will be accountable to an external body.
2.9.3 Up to 10 shortlisters can be added, but two is adequate for the majority of roles. A lead shortlister (usually the Recruiting Manager) must be nominated, as this role will decide which candidates are invited to interview, after all named shortlisters have completed scoring.
2.9.4 On the same tab, copy and paste the **essential criteria only** from the Person Specification. If a template was used on the first vacancy request page, then this will be pre-populated based on the original vacancy, but must be checked to ensure consistency with the current person specification.
2.9.5 Available scores for each qualification criteria should be set to ‘1’ i.e. a candidate that holds the named qualification will score 1, and a candidate who does not hold the qualification will score ‘0’.
2.9.6 Remaining criteria can be weighted according to relevance to the post, however possible scores of 2 are usually recommended as follows:
   2.9.6.1 Candidates will score ‘2’ if they have fully demonstrated meeting the criteria;
   2.9.6.2 Candidates will score ‘1’ if they have partially demonstrated meeting the criteria;
   2.9.6.3 Candidates will score ‘0’ if they have failed to demonstrate meeting the criteria.

2.10 **Tab 6 – Interview or Advisory Appointments Committee**

2.10.1 As with shortlisting, the Recruiting Manager is responsible for deciding on the most appropriate stakeholders to be involved in the selection process. Up to 10 interviewers can be added to each Vacancy Request and will usually match the shortlisters, in which case the ‘copy shortlisters’ button can be used.

2.10.2 A lead shortlister (usually the Recruiting Manager) must be nominated, as this role has responsibility for updating the TRAC system with interview outcomes.

2.11 **Tab 7 - Questions**

Questions can be added to assist in filtering candidates, but must be configured by the TRAC system providers before they can be selected within this section of the Vacancy Request form. Please contact your Recruitment Officer if you want to discuss options for creating filtering questions.

2.12 **Tab 8 – Notes**

2.12.1 Use this section to record any notes relevant to the vacancy, or that the Recruitment Team might need to be aware of.

2.12.2 Where a deputy or secretary raises a TRAC vacancy request on behalf of the Recruiting Manager, they will automatically be set as the Recruiting Manager within the system, and therefore must record the name of the correct Recruiting Manager within the vacancy notes, so that the Recruitment Officer can update the record accordingly.

2.12.3 The notes section builds over time as actions occur on each vacancy, and form an audit trial, which will ultimately form part of the successful candidate's personal file.

2.13 **Request Authorisation**

2.13.1 Once all mandatory fields are complete click 'Request Authorisation' to submit the form, and send a notification email to request the named authorisers to approve the vacancy request.

2.13.2 On clicking 'Request Authorisation' an error message will appear if any mandatory fields have been omitted. The error message will display at the top of the screen including hyperlinks to each of the required mandatory fields, which will also be highlighted in red. These must all be completed before clicking 'Request Authorisation' again.

2.14 **Progressing Authorisation**

2.14.1 Recruiting Managers can track the progress of approvals in progress within the TRAC system via their personalised dashboard, by clicking on the 'Authorisation' button once logged on.

2.14.2 In some cases it may be necessary for the Recruiting Manager to actively chase approvals, and liaise with approvers to support the approval process, and this is particularly recommended where there is an urgent need for recruitment.

2.14.3 Where a divisional accountant is unable to approve a vacancy because the budget is overspent, they will mark the vacancy as 'authorisation: refused' sending a notification to the requesting manager.

2.14.4 The Recruitment Officer will request additional information from the Recruiting Manager regarding the business reasons for progressing recruitment despite this overspend, and how the Division plans to bring budgets back in-line following recruitment, which will be submitted to the weekly Workforce Expenditure Panel (WEP) for consideration and possible approval to progress recruitment.

2.14.5 Approved vacancies will be reviewed against the Trust's redeployment register, to provide 'at risk' employees the opportunity to be interviewed, before vacancies are advertised externally.

3 PROCEDURE STAGE 2 – ADVERTISING AND SELECTION

3.1 Advertising and Receiving Applications

3.1.1 The Recruitment Team aim to publish adverts within five working days of a vacancy being approved, during which time Recruitment Officers will allocate a unique recruitment reference number and undertake a detailed quality checklist, to ensure the advert and recruitment documentation are of good quality before the vacancy is published. This may include liaising with Recruiting Managers to resolve any queries which may delay target advertising timescales, if the steps outlined above have not been adhered to.

3.1.2 All vacancies will be advertised via the Trust website as a minimum. Adverts published on the Trust Website can be for a minimum of 48 hours (to ensure that potential applicants have a reasonable opportunity to apply following daily notifications. There is no maximum advertising period, and regular review is recommended to monitor applications. If no suitable applications are received, please contact the Recruitment Officer for the division to discuss alternatives.

3.1.3 Vacancies which are initially published for five days or more will be automatically posted to the Job Centre Website ‘Find a Job’.

3.1.4 Where vacancies are anticipated to attract overseas applications, the Trust must be able to demonstrate compliance with the ‘Resident Labour Market Test’ (RLMT) in order to be able to sponsor applicants under Tier 2 of the Immigration System. Therefore such vacancies must be advertised for at least 28 days in at least two places, usually the Trust website and the Find a Job website, and must be able to demonstrate that we could not appoint a settled worker to the role, before the Trust can offer to sponsor a candidate under Tier 2.

3.1.5 A range of other advertising methods, including NHS Jobs and Social Media may also be used alongside the Trust Website, at the discretion of the Recruitment Officer unless specifically requested by Recruiting Managers within the vacancy notes, when raising a vacancy.

3.1.6 Where external advertising is required, the Recruitment Team will liaise with our advertising provider to establish the most suitable publications. Paid advertising will be funded from Divisional budgets, and a Purchase Order Number will be required before an advert can be placed.

3.1.7 Substantive Consultant vacancies will usually be advertised for a minimum of three weeks, via the Trust website, and the BMJ. One BMJ Advert per vacancy will be funded by HR. Additional adverts will be funded by the division, and an purchase order will be required in advance.

3.1.8 Where a high level of interest is anticipated, it is preferable to publish with a short closing date, and extend the advert if appropriate, rather than to publish with a longer closing date, and close a vacancy early, which may disadvantage candidates with applications in progress.

3.1.9 All applications received will be processed via the TRAC recruitment system.

3.1.10 Applications will only be accepted online, unless an applicant has a disability which impairs their ability to apply online, in which case reasonable adjustments will be considered as appropriate such as extending the closing date for them, or facilitating an offline application method.

3.1.11 Applications usually will only be accepted during the published advertising dates, unless a Recruiting Manager contacts the Recruitment Officer to confirm they are willing to accept a late application. The Recruiting Manager must provide the candidate’s email address to the Recruitment Officer who will provide a link for the candidate to submit a late application.

3.2 Longlisting: Closed

3.2.1 Vacancies in the ‘Longlisting: closed’ phase have passed their specified advertising end date and require action from the Recruitment Officer.

3.2.2 Within one working day of the closing date, the Recruitment Officer will download applications received via NHS Jobs to the TRAC system using this user guide.

3.2.3 The Recruitment Officer will check for any duplicate applications (received via both TRAC and NHS Jobs) and mark one as a ‘duplicate’ so that the shortlisters will only review the most recent version of the application.

3.2.4 The Recruitment Officer will also check for applications from non-EEA candidates, and if necessary, liaise with the Recruiting Manager regarding the need to pass RLMT should such candidates be successful. The Recruiting Manager may choose to re-advertise the post, in line with RLMT requirements (see section 3.1.4), before starting the shortlisting process.

3.2.5 For Consultant Recruitment, the Recruitment Team will check that applicants are on the Specialist Register, or are eligible for inclusion within six months. Applicants who are not eligible within this time frame will be excluded from the shortlisting process and receive an email communication to advise of the reason for this.

3.2.6 Finally the Recruitment Officer will move the vacancy into shortlisting phase using this user guide, which will generate an email enclosing a link to the named shortlisters inviting them to shortlist applications via the online shortlisting function within TRAC. An email will also be sent to candidates to advise them of the progress of their application.

3.3 Shortlisting Methods - Longlisting

3.3.1 Whilst a vacancy is live, it is possible for Recruiting Managers to view applications, and if they choose to do so, sort applications into virtual piles, according to whether the application meets all, some or none of the essential criteria as published on the Person Specification document attached to the advert. There is a user guide available here.

3.3.2 Recruiting Managers wishing to utilise this method must notify the Recruitment Officer in the notes section when raising the vacancy request, to prevent the vacancy from being progressed to shortlisting following the advert closing date.

3.3.3 Recruiting Managers, who choose to use the longlisting facility, are responsible for maintaining accurate reasons for rejection of candidates, based on the essential criteria of the person specification, by entering a comment in the candidate notes within TRAC, to indicate where the application fell short of the essential criteria. This may be used to provide an initial level of feedback to candidates who request it, but is required to ensure the Trust has a robust defence in the event a recruitment decision is challenged.

3.4 Shortlisting Methods – Online Shortlisting

3.4.1 The more robust, and therefore recommended method of shortlisting applications however is for a minimum of two people (usually the recruiting manager for the role, and a colleague) to complete the ‘online shortlisting’ facility in TRAC, whereby all applications are scored against the essential criteria of the person specification, according to the weightings set by the Recruiting Manager when the vacancy was raised. (See section 2.9)

3.4.2 All shortlisters named on the vacancy will receive an email asking them to commence the shortlisting process. Please follow the link in the shortlisting email to access the online shortlisting functionality.

3.4.3 It is preferable for both shortlisters to score independently, but where managers prefer to submit jointly considered scores, please contact the Recruitment Officer who will note this in the vacancy and arrange for the second shortlister to be removed from the vacancy using this user guide.

3.4.4 The Online Shortlisting wizard will prompt each shortlister to score each of the essential criteria as set by the Recruiting Manager when the vacancy was raised. There is a TRAC User Guide which includes a video tutorial available here, to demonstrate how the online shortlisting function should be used.

3.4.5 Evidence of skills, knowledge and experience may be demonstrated within the employment history section, as well as the supporting information section of the application form, and therefore all aspects of the application form should be considered when assessing applications.

3.4.6 It is also helpful to record shortlisting notes of key points that have caused the candidate to score more or less marks as these help to formulate candidate feedback.

3.4.7 Regardless of the preferred method chosen for shortlisting, it is the Recruiting Manager's responsibility to ensure all shortlisters complete their scoring within the Trust target of five days. Failure to do so creates a poor experience for candidates, and may result in losing candidates to other roles.

3.5 Shortlisting – Evaluate

3.5.1 Once all shortlisters have completed scoring each application, the lead shortlister must evaluate the overall scores to decide which candidates to shortlist, and which to reject, updating the system accordingly using this using this TRAC user guide.

3.5.2 Only candidates who have provided evidence of meeting all of the essential criteria (i.e. scored at least 1 out of 2 on every criteria) should be progressed to interview.

3.5.3 The Recruiting Manager is responsible for ensuring that candidates are not invited to interview, unless they have evidenced within their application form that they hold all of the qualifications that were listed as being essential within the Person Specification, unless the Person Specification stated that equivalent experience would be accepted. In this case, the Recruiting Manager must record within their shortlisting notes that equivalent experience has been recognised, and if the candidate is successful, an 'Equivalency of Qualifications' form will be required as part of pre-employment checks.

3.5.4 The Trust is a 'Disability Confident Employer' meaning that we have committed to interview all 'two ticks' candidates who are able to demonstrate meeting the essential criteria for the role within their application. 'Two ticks' candidates are only highlighted to the lead shortlister after all shortlisters have completed scoring. Should the lead shortlister reject a two ticks candidate at shortlisting evaluate stage, a message will be displayed, prompting the manager to confirm that such candidates don't meet the essential criteria for the role. Further guidance is available via this TRAC User Guide.

3.5.5 Shortlisting Evaluate is also covered within the TRAC User Guide for online shortlisting.

3.6 Interview and Other selection Methods

3.6.1 If not already established earlier in the process, the Recruiting Manager must decide on the Selection Methods to be used, prior to progressing shortlisted applicants through the interview gateway.

3.6.2 Recruiting Managers are encouraged to utilise a range of selection methods appropriate to the role in order to thoroughly assess the candidate's suitability as outlined in section 7.7 of the TW10-008 Recruitment and Selection Policy.

3.6.3 This is particularly important due to increased use of Factual References.

3.7 Advisory Appointments Committee

3.7.1 In the case of Substantive Consultant Recruitment an Advisory Appointments Committee (AAC) will be convened and usually comprised in compliance with Department of Health Guidelines on good practice for consultant recruitment

3.7.2 The Chair of the AAC has the following responsibilities:

3.7.2.1 Ensuring the panel has a shared understanding of the role and the requirements of the appointment;

3.7.2.2 Agreeing the questions that will be asked of each candidate at the AAC;

3.7.2.3 Chairing the AAC;

3.7.2.4 Offering the position subject to Board approval and pre-employment checks;

3.7.2.5 Recording the decision of the panel within the TRAC Recruitment system (with the support of the HR Representative on the panel, if required);

3.7.2.6 Agreeing which member of the panel will be available to provide candidate feedback on request.

3.7.3 AAC Panel Members have the following responsibilities:

3.7.3.1 Participate in the process, applying the principles of inclusion and diversity;
3.7.3.2 Undertake short listing of applicants in a timely fashion against the person specification, using the TRAC Online Shortlisting functionality;
3.7.3.3 Attending the AAC or providing a nominated deputy to attend in their place;
3.7.3.4 Declaring prior knowledge of a candidate to the panel Chair;
3.7.3.5 Providing feedback to unsuccessful applicants or candidates.

3.7.4 An HR representative will be present to support the AAC panel. Although they have no voting rights, they will play an active role in the process and will ensure accurate recording of the AAC decision making.

3.8 **Interview Gateway**

3.8.1 Unless otherwise stated within the original advert, it is best practice to allow candidates at least one week's notice of their interview, to allow adequate time to prepare. It may be appropriate to provide longer timescales for senior and Consultant appointments, considering any time required to prepare for the selection methods selected and candidates' clinical commitments.
3.8.2 The Recruiting Manager will make any necessary interview arrangements and communicate these to the Recruitment Team via the TRAC interview gateway using this TRAC User Guide.
3.8.3 When using the TRAC interview gateway, it is usually preferable to invite candidates on a 'first come first served' to avoid gaps in the interview schedule. Remember to allow for scoring time and comfort breaks when planning interview timeslots.
3.8.4 Where presentations are required, the Recruiting Managers must nominate an email address and deadline for receipt of presentations, and include this within the interview gateway instructions.
3.8.5 Recruiting Managers will be able to see candidate names and contact details within the system once shortlisting decisions are confirmed.

3.9 **Interview Set-up**

3.9.1 Prior to setting up interviews, the Recruitment Officer will notify unsuccessful candidates using the most appropriate 'shortlisting regret' email template.
3.9.2 The Recruitment Officer will aim to set up the interviews within the TRAC system and send candidate invites, within one working day of the Interview Gateway being completed by the Recruiting Manager using this TRAC user guide.
3.9.3 Invites are sent to candidates by email, and they will also receive a text (SMS) notification where they have opted-in to this service via their TRAC account.
3.9.4 Where there is requirement to follow-up interview invites by telephone, this will be undertaken by the Recruiting Manager or a nominated delegate, within their team.
3.9.5 Candidates will usually book in for interview online, on a first come, first served basis, as outlined in this TRAC User Guide. Occasionally there may be a requirement for Recruitment Officers to book or amend interview details manually as per this TRAC user guide.

3.10 **Verification of Documents During Interview**

3.10.1 The Recruiting Manager, or nominated deputy, should conduct a check of each candidate's ID on arrival to verify they are who they say they are.
3.10.2 The Recruiting Manger must verify that each candidate holds certificates to evidence the essential qualifications for the role, as part of the interview process, and update the interview scoring sheet to document that this check has taken place.

3.10.3 Candidates must not be offered a position, unless they hold certificates (or are willing to obtain copies retrospectively, at their own cost, and within a reasonable timeframe) to prove they meet the essential qualification for the role.

3.10.4 The only exception to this is where a published person specification stated that equivalent experience would be accepted, and the Recruiting Manager must be able to evidence how they have assessed experience to be equivalent to the skills and knowledge that would have been gained in achieving the qualification, and therefore demonstrate that the candidate is suitable for a role despite being unable to evidence this qualifications.

3.10.5 There is no need to take copies of documents at this stage because successful candidates will be invited to an appointment with the Recruitment Team as part of the pre-employment checking procedure outlined in section 4.5 below.

3.11 **Making a Verbal Offer and Confirming Interview Outcomes**

3.11.1 The Recruiting Manager, or nominated deputy, will telephone each candidate following interview either to make a conditional offer of employment, or to advise that the candidate has been unsuccessful, and offer feedback.

3.11.2 When making a verbal offer, Recruiting Managers should confirm the core details of the post and the salary to be offered in line with the applicable terms and conditions. Further information on salary and pay progression is available via the intranet (WALLY) here.

3.11.3 Where a candidates is joining from outside of the NHS, and salary negotiations are ongoing to recognise experience to date, Recruiting Managers must liaise with Divisional Finance Managers regarding budgets, and confirm the alarm to be offered, in accordance with terms and conditions, within the TRAC offer gateway.

3.11.4 Where there is a business need to escalate a salary offer outside of terms and conditions or offer Recruitment and Retention premia, this must be approved by the Workforce Expenditure Panel (WEP), using a Local pay variation form. Please contact the divisional Senior HR Business Partner for further advice in this regard.

3.11.5 Where a fixed term post is being offered the Recruiting Manager must check whether the successful candidate is currently employed within the NHS, and if so, prompt the candidate to secure a secondment in order to take up the role being offered. If the candidate is not currently employed within the NHS, or is unable to secure a secondment for whatever reason, but does have NHS Service, please contact the divisional Senior HR Business Partner for further advice on the potential implications of this.

3.11.6 Recruiting Managers must update each applicant within the interview phase using this TRAC user guide according to whether they were:

3.11.6.1 Successful – move them to offer pending;

3.11.6.2 Reserve candidate – move to offer reserve and rank in priority of interview scores;

3.11.6.3 Unsuccessful – move to rejected and record an appropriate note;

3.11.6.4 Did not attend for interview – move to did not attend.

3.11.7 At the point of moving the candidate through to offer pending, an offer table will be displayed, prompting the manager to confirm the offer proposed to each candidate. Here the Recruiting Manager should confirm the hours and salary to be offered to each candidate. The Recruiting Manager will scan and upload interview scoring sheets to the system during this process. Any additional notes can also be recorded here.

3.11.8 Appointable candidates can be marked as 'Reserve Candidates' as outlined in this TRAC user guide, and can be offered any future positions which may arise within three months of the interview date.

3.11.9 In the event that more positions have become available since the vacancy was approved, and the Recruiting Manager wishes to offer these to reserve candidates from the current round of interviews, candidates should be moved to 'Offer: Reserve' and a new vacancy request must be fully approved before an offer of employment can be progressed.

3.11.10 In the event that multiple candidates are moved to 'Offer: Pending' in excess of the WTE approved on the vacancy additional Vacancy Approvals are required, the Recruitment Team will send conditional offers in order of priority according to interview scores, as per the notes uploaded to the system by the Recruiting Manager.

3.11.11 Where a vacancy is approved for more than one position, and multiple candidates are successful, please ensure that the hours and WTE to be offered to each candidate are correctly stated within the offer table, when moving the candidate through to offer pending stage.

4. PROCEDURE STAGE 3 - CONDITIONAL OFFER AND PRE-EMPLOYMENT CLEARANCES

4.1 Conditional offer letters and pre-employment clearances are processed by Recruitment Assistants within the TRAC Recruitment system.

4.2 The TRAC system is designed to ensure all pre-employment checks are completed in compliance with NHS Employment Check Standards and each candidate file contains a checklist to include a section on each of the required checks.

4.3 Individual NHS trusts have the ability to create additional items within the checklist, known as 'ad-hoc checks' according to their individual requirements.

4.4 **Preparing to issue a Conditional Offer Letter (COL) (external[2])**

4.4.1 Recruitment Assistants will issue a Conditional Offer of Employment to candidates as soon as possible and within two working days of the interview outcomes being recorded by the Recruiting Manager within the TRAC system, where all required information is present within the TRAC system.

4.4.2 The conditional offer letter confirms the post offered, including the salary range and whether the post is fixed term or permanent.

4.4.3 The conditional offer letter also explains that the offer of the post is conditional subject to meeting the requirements set out within NHS Employment Check Standards, specifically that the following must be completed and deemed satisfactory by the Trust:

4.4.3.1 Verification of ID Documents;
4.4.3.2 Verification of Right to work in the UK;
4.4.3.3 Verification of Qualifications required for the role, and Professional Registration, (including HPANs) if applicable to the role;
4.4.3.4 DBS Clearance & membership of the update service, if appropriate to the role;
4.4.3.5 References sought to verify of 3 years of employment or study history;
4.4.3.6 Occupational Health clearance.

4.4.4 The conditional offer letter invites the candidate to book a pre-employment check with the Recruitment Team, using our online booking system, to provide the required evidence of the above checks.

4.4.5 The conditional offer letter also contains some attachments as follows:

4.4.5.1 'Pre-employment Checks – A Simplified Guide to your new Career' containing helpful information to guide the candidate through their pre-employment clearances;

[2] See section 4.17 if processing an internal candidate

4.4.5.2 A further document containing a range of additional forms to support the pre-employment and on-boarding process. Some forms may not be applicable to every candidate, depending on their circumstances. The forms may be referred to within relevant sections of this SOP and are explained further in section 4.13.

4.4.6 Prior to issuing a conditional offer letter, the Recruitment Assistant will:

4.4.6.1 Check that the vacancy holds sufficient WTE approved, for all of the candidates within the offer: pending phase of the vacancy;

4.4.6.2 Check whether the role is fixed term, and if so, ensure that the end date / duration of contract and reason for the contract being fixed term are evidenced within the vacancy;

4.4.6.3 Send the 'Interview Regret' template email to candidates who have not been progressed to interview stage. These should have been moved to 'interview: rejected' phase by the recruiting manager, but may also have remained in 'shortlisting: interview set up;

4.4.6.4 Select 'edit application', and ensure that the candidate's address has been entered correctly, with capitalisation and punctuation.

4.4.7 Next the Recruitment Assistant will prepare the candidate's pre-employment checklist can using this TRAC user guide, in conjunction with the guidance below:

4.4.7.1 Convictions: Set the level of DBS check that the candidate requires according to the job role;

4.4.7.2 ID Check: Set as 'Send Appointment Invitation with Offer';

4.4.7.3 Visa / Work Permit: No action required at this stage. This check will remain as 'not started' until the candidate attends their pre-employment check appointment.

4.4.7.4 Professional Registration, if applicable to the role should be verified online according to this TRAC user guide. If professional registration is not applicable to the role, it will automatically be set as 'Not required'.

4.4.7.5 DBS Update Service: For external candidates, set to 'In Progress'. This will be competed and verified once the DBS check has been completed and the candidate has paid for the mandatory update service membership. Note that internal candidates are not mandated to join the update service.

4.4.7.6 Model Declaration Form A: For roles which require a DBS check, and for external candidates, set to 'In Progress'. For roles which do not require a DBS check, a Declaration Form B is required instead. Mark Declaration Form A as 'not required' and add Declaration Form B as a new ad hoc check by selecting it from the new ad-hoc check list (available as a button directly below the candidate's checklist) and set to 'In Progress'. This will prompt the Recruitment Assistant to ensure the form is completed when the candidate attends their ID check appointment.

4.4.7.7 Qualifications: Select 'New Qualification Check' and enter the all the required qualifications detailed in the person specification. If there are qualification requirements which are not available from the list, copy and paste all the essential qualifications for the role into the qualifications tab and set the check to 'In Progress'. If the candidate's application form appears to indicate that they don't hold the essential qualifications, and the manager has therefore deemed their experience to be equivalent, the 'Equivalency of Qualifications' form should be sent to the Recruiting Manager to evidence this decision. It should be counter-signed by an HR Advisor or Senior HR Business Partner, and uploaded to the file in place of the qualifications.

4.4.7.8 DBS repayment form/ agreement to deduct cost: If processing an external candidate who is required to have a DBS check, set to 'In progress'. If no DBS check is required, mark as 'Not Required'.

4.4.7.9 Occupational Health: Using a secondary window, log on to the Cohort System, and click 'applications' on the left hand menu. Enter the candidate's details and the details of the vacancy into the form, using the vacancy reference number as the 'app number' copy the PIN number displayed and click 'add applicant'. Next select questionnaire type as 'Wellbeing Partners' and 'pre-placement questionnaire' as the email body then click 'send applications'. Return to the candidate's TRAC file on the primary window and update the Occupational Health Status of the checklist to 'with candidate', and paste their PIN into the notes within the OH sub-section of the checklist, then click 'save changes'.

4.4.7.10 References: Identify from the candidate's application form how many references are required with reference to the provisions of section 4.11. Enter these as a separate check, and select the type of reference, along with the dates in which it correlates to. If there is a gap from the information provided, still enter a new reference check and name the check 'Required' along with the dates, until further information is provided by the candidate. If an external candidate is currently employed by an NHS Trust, request an IAT within the ESR system and set the IAT tab to 'In Progress'. If they are not currently employed within the NHS, set the 'IAT' tab to 'not required'.

4.4.7.11 Please refer to section 4.15 if preparing a conditional offer and pre-employment checks for internal candidates.

4.5 Issuing a Conditional Offer Letter (COL)

4.5.1 Following preparation of the candidate file as outlined above, the conditional offer letter can be issued by the Recruitment Assistant following this TRAC User Guide. It is important to select the correct conditional offer letter template, according to the post being offered, as outlined below:

4.5.1.1 COL – 2018 – External: Will be used for the majority of AfC posts, and is for external candidates;

4.5.1.2 COL – 2018 – External – FPPR basic Check is for executive level positions which required to meet the a Fit and Proper Persons requirements and whose role does not involve patient contact, and so a basic, rather than standard or enhanced DBS check is applicable;

4.5.1.3 COL – 2018 – Internal: To be used for AfC posts but specifically for internal candidates, i.e. those already working at WWL;

4.5.1.4 COL – 2018 – Pre-employment: Specifically for the pre-employment programme;

4.5.1.5 COL – 2018 – Traineeships: Specifically for the traineeship programme;

4.5.1.6 COL – 2018 – Medical: Will be used for the majority of Medical and Dental posts;

4.5.1.7 COL – 2018 – MCh/MMed: is specifically for those doctors appointed to the MCh/MMed programme;

4.5.1.8 NED - COL – 2018: is specifically for non-executive director posts;

4.5.1.9 COL – 2018 – Medical – R&R: to be used for medical posts offered with a Recruitment and Retention premia.

4.5.2 The Recruitment Assistant will then record a note within the TRAC file of the actions taken so far, and anything important to be aware of as the file progresses.

4.5.3 The final stage is to record any relevant notes, click 'all checks chased' and 'stop working on employment checks' to update the file into the green category on the Recruitment Dashboard within TRAC. The file will remain in green for 4 working days.

On the fifth day the file will move into the amber stage to highlight that it is now due for review.

4.6 **Progressing Candidate Files**

4.6.1 Each time that a candidate's file is due for review (every five days) it will appear in amber on the dashboard.

4.6.2 The Recruitment Assistant will review the file, and take any actions possible / applicable at that time, in order to progress the checks as outlined in sections 4.3 onwards.

4.6.3 Each time a file has been reviewed, and all possible actions have been completed, the Recruitment Assistant will record an appropriate note detailing the actions taken and click 'all checks chased' and 'stop working on employment checks' to update the file into the green category on the Recruitment Dashboard within TRAC.

4.6.4 Files can be progressed prior to their review date, and this is the gold standard to aim for, workload permitting.

4.7 **Pre-Employment Clearances**

4.7.1 Pre-employment clearances are compiled in the form of a checklist within the candidate's TRAC file. Those listed with NHS Employment Check Standards are mandatory. Additional checks can be added at employer level, or specific to individual candidates as the file progresses, and these are divided in to mandatory (blocking) and 'non-blocking' categories.

4.7.2 Additional mandatory (blocking) checks must be marked as either 'success' or 'not required' before the system will allow the Recruitment Assistant to issue an unconditional offer.

4.7.3 Non-blocking checks allow an unconditional offer to be issued, but must be completed before a file is deemed to be complete, providing a mechanism to ensure that all required checks are verified at the appropriate stage of recruitment.

4.7.4 The most commonly used are as follows:

4.7.4.1 IAT – Intra-Authority Transfer (blocking): a mechanism to share information, including factual references between NHS Employers vs ESR;

4.7.4.2 Additional qualifications (blocking): used to distinguish multiple essential qualifications requirements;

4.7.4.3 Recruitment Audit (blocking): see section 4.14;

4.7.4.4 Checks recorded on ESR(non-blocking): see section 6.2;

4.7.4.5 File downloaded and sent to manager (non-blocking): see section 6.3.

4.7.5 The items within the pre-employment checklist can have various status settings as the files progresses, but the aim is to mark as many as possible 'success'. There may be circumstances where it is appropriate to mark a check as 'not required'.

4.8 **Verification of Identity**

4.8.1 Candidates are invited to book their pre-employment check appointment within three days of receiving their conditional offer letter (COL), for the earliest date that they can attend, in order to have their ID, right to work and qualification documents verified by the Recruitment Assistant.

4.8.2 The Recruitment Team manage ID check appointment availability and release new appointments every fortnight to ensure candidates book appointments within a reasonable timeframe.

4.8.3 The Recruitment Assistant will ring any candidate who has not booked in for their ID check by the time of their first file review, and attempt to book the appointment with the agreement of the candidate.

4.8.4 Verification of Identity checks are carried out in accordance with NHS Employment Check Standards and processed following this TRAC User Guide.

4.8.5 ID documents can only be accepted in specific combinations as illustrated via this interactive link, which is provided to candidates within their offer letter.

4.8.6 Original documents must be seen and validated by the Recruitment Assistant in accordance with NHS Employment Check Standards.

4.8.7 The preferred method of ID verification includes a combination of photographic ID and proof of address, however, candidates who do not have photographic ID are able to provide four items of non-photographic ID plus an endorsed passport photo, as described within NHS Employment Check Standards. NHS Employment Check Standards also provides alternatives for young people who have recently left education.

4.8.8 When the candidate attends their ID appointment the Recruitment Assistant will check the validity of the documents as outlined in NHS Employment Check standards. The name of the person conducting the check, as well as the date and time of the ID check are recorded within TRAC along with the core details of the documents presented. A PDF file of the scanned documents is also uploaded to the candidate's file.

4.8.9 TRAC will not allow the ID check to be marked as 'success' until the combinations of ID provided have met the required standard.

4.8.10 NHS Employment Check Standards differ slightly in relation to combinations of acceptable ID, compared to government requirements required for processing DBS checks. In some cases, where a DBS check is required, and sufficient ID has been provided to meet those requirements, but not NHS Employment Check Standards, the system will permit the check to be recorded as a 'partial check'. This allows the DBS check to be progressed without delay and the candidate is required to return at a later date with additional documents in order to satisfy the full requirements of the ID check.

4.8.11 Some candidates are genuinely unable to fulfil ID check requirements, but a Recruiting Manager may still wish to progress with the offer of employment, in which case a risk assessment must be carried out, counter-signed by the Senior HR Business Partner and uploaded to the TRAC file.

4.8.12 The TRAC system sends an automated email at 4.30 pm each day to the Recruitment Team confirming the following days ID check appointments.

4.8.13 On receipt of this notification, the Recruitment Assistants will support candidates to prepare for their appointment by either of the following options:

4.8.13.1 Send a text message to the candidates, prompting them to ensure they bring the documents to evidence their ID, right to work and qualifications, as outlined in their COL, or;

4.8.13.2 Telephone each candidate to ensure they have fully read and understood the guidance document attached to the conditional offer letter, and are prepared to bring all of the required evidence to their appointment.

4.9 Verification of Right to Work Documents (Visa/Work Permit check)

4.9.1 Verification of Right to Work Documents are carried out in accordance with NHS Employment Check Standards and recorded in TRAC following this TRAC User Guide.

4.9.2 Where a candidate is from the UK or EEA, and has provided a passport to evidence this at the ID check stage, their right to work status will be automatically updated to reflect this, and no further action is taken.

4.9.3 Where a candidate is from the UK or EEA but has not provided their passport during the ID check a full birth certificate is required in combination with another document confirming their NINO. Recruitment Team members should refer to the relevant NHS Employment Check Standard document when processing such checks.

4.9.4 Where a candidate is from outside of the UK or EEA they may be able to evidence their Right to Work by providing the acceptable documents as outlined in NHS Employment Check Standards

4.9.5 Alternatively the candidate may require sponsorship from the Trust under Tier 2 of the Points Based Immigration System which must be arranged in compliance with this UKVI Policy Guidance, and may require evidence that the Trust has completed a Resident Labour Market Test, if the role is not a recognised shortage occupation.

4.9.6 Candidates who hold a Tier 4 Student visa are able to work up to 20 hours during term time, and up to full time outside of term time. This UKVI Policy Guidance should be used to ensure that any offer of employment complies with the terms of such Right to Work.

4.10 Qualifications

4.10.1 The conditional offer letter requests candidates to bring their original qualification certificates to their ID check appointment to evidence as a minimum that they meet the essential criteria listed within the person specification for the role.

4.10.2 Qualifications certificates are scanned and uploaded to the TRAC file as outlined in this TRAC User Guide.

4.10.3 It is recommended that additional blocking checks for qualifications are inserted in the checklist so that qualifications are recorded and uploaded separately for ease of identification.

4.11 Professional Registration

4.11.1 Candidates are asked to provide their professional registration PIN number on their application form. This is used to verify professional registration against the relevant online register.

4.11.2 The candidate's personal details are also used to perform a check against the Alert Database.

4.11.3 These checks are recorded within TRAC as outlined within this TRAC user guide.

4.11.4 Should a candidate prove to be unregistered, the Recruitment Assistant will discuss the reasons for this with the candidate, and the Recruiting Manager to establish whether the offer of the post can be progressed.

4.11.5 Newly qualified candidates may, where there is a service need, be employed in an unregistered capacity until their registration is activated. This will usually be at a lower grade (where a banded Job Description and PS exist), and on a fixed term contract, until registration is confirmed.

4.11.6 If there are restrictions to practice recorded against a candidate's professional registration check, the Recruitment Assistant will prompt the Recruiting Manager (and Responsible Officer for non training grade medical roles) to discuss these with the candidates, and advise whether the restrictions can be supported within the role. It may be appropriate to consider withdrawal of the offer of the post at this point.

4.11.7 If a candidate is not registered, with no likelihood of being registered within a reasonable timeframe, the post will be withdrawn as per section 4.19.

4.12 DBS Clearance (Convictions)

4.12.1 When the COL is issued, candidates are invited to complete their online DBS application form within three days of receiving their letter.

4.12.2 The various stages of progressing DBS clearances via TRAC are outlined in this user guide.

4.12.3 An automated TRAC notification is sent to the candidate when the DBS certificate is ready to be produced, advising them that we will be notified automatically if the certificate is clear but that the candidate must present their certificate to the Recruitment Assistant if it contains any information.

4.12.4 If a certificate is not clear, the Recruitment Assistant will prompt the Recruiting Manager to discuss the content of the certificate with the candidate, and any mitigations, considering whether this may represent a risk within the job role they have been offered. The Recruitment Manager may wish to seek advice from their Senior HR Business Partner and it may be appropriate to withdraw the offer of employment at this point.

4.12.5 Alternatively the Recruiting manager may decide that the DBS information does not represent a risk in the role offered, and a ‘DBS Disclosure Review Form’ (risk assessment) must be carried out, counter-signed by the Senior HR Business Partner and uploaded to the TRAC file.

4.13 **DBS Update Service**

4.13.1 WWL is a member of the Greater Manchester Streamlining Staff Movement (GMSSM) Project. All member Trusts have committed to mandating DBS Update Service membership for new starters.

4.13.2 Candidates are asked to register for the update service within 19 days of receiving their DBS Certificate, at a cost of £13 per year, payable by credit or debit card online at the time of registration.

4.13.3 Should the candidate fail to register within 30 days, they will be required to undertake a new DBS disclosure, at further cost to them, and they will have a further 30 day window to complete registration with the DBS Update Service

4.13.4 The candidate’s DBS update service membership should be recorded within TRAC in order to update the checklist to a status of ’success’ according to this TRAC user guide.

4.13.5 The additional forms attached to the COL outline the requirement for each candidate who is subject to DBS disclosure to join the DBS Service, and confirm permission for the Trust to record details of their DBS Update Service membership within ESR for the purpose of checking that the certificate remains correct, via an automatic interface, on a quarterly basis.

4.13.6 Details of their membership should then be recorded within ESR as per section 6.2.

4.14 **References & Employment History**

4.14.1 Reference and Employment History checks are carried out in accordance with NHS Employment Check Standards and processed following this TRAC User Guide.

4.14.2 As mandated by GMSSM, WWL will only seek factual references, via ESR IAT where possible, or via TRAC.

4.14.3 References should be sought in order to verify three years of employment and/or study history from the date that the application was submitted.

4.14.4 Where candidates have studied a formal qualification to undertake the role they are commencing, references will not be sought to cover casual work undertaken in the holidays between finishing the course, and commencing the qualified role.

4.14.5 Where candidates are already employed within the NHS, only one reference from the most recent employer, will be required, as agreed via the GMSSM project, with the assumption that the candidate’s first NHS employer will have verified the required 3 year history prior to commencement.

4.14.6 Completed References are uploaded to the TRAC file, either automatically, or manually by the Recruitment Assistant, depending on the method by which they were returned. The Recruiting Manager will receive an email notification advising that there is a new reference which requires their attention.

4.14.7 The Recruiting Manager should review the reference, contact the referee and/or the candidate if clarification is required regarding any element of the reference such as high absence levels, performance levels etc.

4.14.8 The Recruiting Manager must then update the system and click ‘start working on employment checks’ in order to select one of the following actions:

4.14.8.1 Request Clarification: Enables a file note to be recorded regarding the clarification requires. Recruiting Managers should normally seek this clarification via the candidate or referee directly, using the contact details available within the TRAC file;

4.14.8.2 Clarification requested: Indicates that clarification has been requested and awaiting a response. This option also enables a file note to be recorded so the Recruitment Team are aware of progress;

4.14.8.3 Referee refused: Is used to indicate that a referee has refused to respond to a reference request. This will usually be reported to, and updated by the Recruitment Team;

4.14.8.4 Referee unsuitable: This is used to indicate that the referee is not in a position to provide a reference, e.g. a colleague rather than manager. This will usually be reported to, and updated by the Recruitment Team;

4.14.8.5 Fail – Bad reference: Is used to indicate that the Recruiting Manager does not wish to accept the reference, for example where there is a concern in relation to conduct or attendance. This will usually result in the withdrawal of the offer of a position. Please contact the Recruitment Team to discuss the best way forward. Advice may also be required from the divisional HR Advisor or Business Partner;

4.14.8.6 Success: if there is no cause for concern within the reference.

4.14.9 In the case of high absence levels, or any other flags or warnings detailed within the reference, the Recruiting Manager should liaise with their HR Advisor or Senior HR Business Partner to agree the most appropriate way forward, which may include withdrawal of the offer of the post.

4.14.10 Further information on updating reference statuses is available via this TRAC user guide.

4.15 **Revalidation**

The Responsible Officer must also approve references for medical staff in non-training grades. These will be sent via the TRAC system, and approval recorded on the file before it can progress to unconditional offer stage.

4.16 **Occupational Health Clearance**

4.16.1 The conditional offer letter requests candidates to complete their occupational health questionnaire within three days of receiving their conditional offer letter. The Recruitment Assistant will check Cohort to ensure they have done so, call the candidate to chase if necessary, and update TRAC accordingly, recording notes to reflect action taken.

4.16.2 Cohort may reflect a range of statuses against each candidate as they progress through the system as detailed in appendix 1. The Recruitment Assistant will liaise with the candidate and the Occupational Health Team as required, to support efficient clearances.

4.17 **Additional Payroll Forms**

4.17.1 The following additional forms may be sent to the candidate, depending on the role to be recruited, as an attachment to the conditional offer letter, and collected at the ID check appointment:

4.17.1.1 Additional Tax Form – collected by the Recruitment Team and provided to payroll for tax coding purposes;

4.17.1.2 New Employee Questionnaire – collected by the Recruitment Team and provided to payroll for pension purposes;

4.17.1.3 Model Declaration Form A – required for roles which are eligible for a DBS clearance, and asks the candidate to declare any convictions, cautions or reprimands prior to their DBS clearance;

4.17.1.4 Model Declaration Form B – required for roles which are not eligible for a DBS clearance, and asks the candidate to declare any unspent convictions, cautions or reprimands;

4.17.1.5 DBS Deduction Form – requires the candidate to sign their permission for the Trust to deduct the cost of their DBS clearance from their salary in instalments;

4.17.1.6 DBS Update Service Form – informs the candidate of the requirement to join the update service on receipt of their DBS clearance, explains how their update service membership is used, and requires them to sign their permission for the Trust to use their information as described;

4.17.1.7 Employment History Form – only required from candidates who have failed to provide the required references within their application form. Particularly useful for those who have had gaps in their employment history;

4.17.1.8 Deductions from Salary for Doctor's Mess – To be completed by those wishing to use Mess facilities;

4.17.1.9 Specimen Signature – Required to evidence Medical Staff's signature, and shared with key departments such as pharmacy, radiology and the mortuary;

4.17.1.10 Resus Training Declaration – Required to evidence Medical Staff's resus accreditation status;

4.17.1.11 New User Account Form – required to obtain IT systems access;

4.17.1.12 Parking Permit Application – optional for those who wish to use Trust owned parking facilities;

4.17.1.13 EWTD opt-out form – Required by medical staff wishing to undertake locums in addition to the rostered work schedule;

4.17.1.14 NHSP Internal Bank Form – Required by medical staff wishing to undertake locums in addition to the rostered work schedule.

4.18 Recruitment Audit

4.18.1 Upon completion of the pre-employment clearances, the file will be audited by an independent member of the Recruitment Team to ensure:

4.18.1.1 That all checks have been processed to the required standard;

4.18.1.2 That there are no gaps in the employment history required (e.g. where a referee has responded with dates that differ from the dates expected);

4.18.1.3 That evidence of the required checks e.g. scanned documents, have been uploaded to the relevant section of the file.

4.19 Easements to pre-employment checks for internal candidates

4.19.1 Where a successful candidate already works for the Trust. The Recruitment Assistant will check ESR for evidence of previous pre-employment clearances, and there may be some exceptions to the pre-employment checks.

4.19.2 An ID check will be required if a DBS check is required for the new role, and / or if ESR does not confirm that a check was undertaken in compliance with NHS Employment Check Standards on commencement.

4.19.3 The Recruitment Assistant will verify that the candidate holds certificates to confirm they meet the essential criteria for the new role.

4.19.4 A new DBS check will be required if ESR does not confirm that the candidate completed a DBS check on commencement, to the same level of clearance that is applicable to the new role.

4.19.5 A new right to work check will be required unless ESR confirms that the candidate already has unlimited right to work in the UK.

4.19.6 A new Occupational Health clearance will usually be required, unless the new role is very similar to the current role, in which case Occupational Health advice will be sought in order to confirm whether the new clearance is required.

4.19.7 A new factual reference will be provided to the Recruiting Manager of the new role, unless the candidate is staying within the same team.

4.19.8 Professional registration will be verified online as per usual procedures.

4.19.9 Internal changes are recorded and communicated using an ESR Assignment Change Form, prepared by the Recruiting Manager and countersigned by the employee. The Recruitment Team may prepare change forms on behalf of the Recruiting Manager in the case of Medical appointments.

4.19.10 Internal candidates wishing to appeal against any aspect of the Recruitment Procedure should do so via the Trust Grievance procedure.

4.20 **Risk Assessments**

4.20.1 In exceptional circumstances there may be a requirement, for example based on urgent service need, to either commence a candidate before checks are completed, or to accept that the standards as outlined in NHS Check Standards cannot be met, and the candidate has been able to offer a reasonable explanation for this.

4.20.2 In such circumstances, and only by prior agreement of the Divisional Senior HR Business Partner, a risk assessment will be required.

4.20.3 Two risk assessment templates are available called ‘Request to commence prior to completing checks’ and ‘unable to complete pre-employment checks’ and should be completed appropriately, according to the circumstances.

4.20.4 The Recruitment Assistant will populate the basic details of the form, and forward this to the Recruiting Manager to evidence their assessment of the risk.

4.20.5 The Senior HR Business Partner will then counter-sign, based on the earlier conversation that the Recruiting Manager must instigate.

4.20.6 The completed risk assessment must be uploaded to the TRAC file.

4.20.7 Risk Assessments will not be completed without successful occupational health and right to work clearances.

4.21 **Candidate Withdrawals (Candidates Decision)**

4.21.1 In the event that a candidate chooses to withdraw from the offer of a position prior to starting, the Recruitment Team will inform relevant stakeholders such as the Recruiting Manager, Occupational Health, and IT Services, if applicable.

4.21.2 The Recruitment Team will update the TRAC system, and ask how the manager wishes to proceed with regards to the resulting vacancy.

4.21.3 Where a DBS has been processed, the candidate will be asked to make a payment to General Office to reimburse the Trust for the cost.

4.22 **Candidate withdrawals (Managers Decision)**

here a candidate does not meet the required standard in relation to pre-employment clearances, e.g. poor references / DBS disclosure content the Recruiting Manager will usually telephone them to explain the decision, and the Recruitment Team will follow-up with a letter to confirm the withdrawal of the offer of employment.

5. UNCONDITIONAL OFFER, START DATE AND INDUCTION BOOKING

5.1 On completion of all mandatory checks listed within the candidate’s checklist, the file will move through to ‘checks OK’ phase.

5.2 The Recruitment Assistant will issue an unconditional offer letter (UCOL) within two working days, making a file note of the action taken, and updating the file to green on the dashboard for a further five days by clicking ‘all checks chased’.

5.3 The unconditional offer letter asks the candidate to contact their future line manager, at their earliest convenience to agree a mutually convenient start date, discuss any uniform requirements, any pre-booked holidays and confirm first day reporting instructions.

5.4 The candidate is asked to telephone the Recruitment Assistant to inform the agreed start date, which will be recorded within the TRAC System, and allow any relevant Induction Courses to be booked. Please see appendix 2 for guidance on required inductions.

6. CONTRACT OF EMPLOYMENT AND COMPLETING THE RECRUITMENT EPISODE

6.1 Following confirmation of the agreed start date, the Recruitment Team will issue a contract of Employment, usually within a week, unless there are exceptional circumstances. The legal minimum requirement is to issue a contract of employment within 8 weeks of commencement of employment.

6.2 The Recruitment Officer will update ESR with the core details of the pre-employment clearances according to this TRAC user guide.

6.3 The Recruitment Officer will download the recruitment file according to this TRAC User Guide, save it to the HR network, and email it to the Recruiting Manager, with advice on using this information to create an employee personal file, which should be maintained throughout the employment life cycle. Files will be deleted from the HR Network at least annually to prevent storage of information for longer than is necessary.

6.4 As medical staff personal files are held within HR, the recruitment file will be stored electronically in the case of fixed term appointments, or in a hard copy personal file for permanent appointments.

6.5 Upon completion of these actions the candidate file can be moved to ‘outcome’ phase. When all candidates within a vacancy are in ‘outcome’ phase the vacancy can also be moved to outcome. No further actions can be carried out on either the candidate’s file, or on the vacancy.

6.6 The Recruitment Team have no further responsibility in the recruitment process but can provide ongoing advice as requested by the Recruiting Manager.

7. COMMENCING EMPLOYMENT AND ON-BOARDING

7.1 The candidate will report on their first day according to the verbal agreement made with their Recruiting Manager as per point 5.3.

7.2 The Recruiting Manager will ensure the following actions are completed:
- 7.2.1 Complete the new starter form available via WALLY and ensure it reaches the payroll office by the monthly cut-off date. For advice on starting salaries, please refer to WALLY or contact the divisional Recruitment Officer;
- 7.2.2 Provide a local induction, and ensure the new starter completes all corporate induction requirements, and set first year objectives in accordance with the Corporate and Local Induction Policy;
- 7.2.3 Submit an IT New User Account Request Form detailing their access requirements;
- 7.2.4 Arrange for the new starter to visit the security office to receive an ID badge and parking permit if required;
- 7.2.5 Complete a job plan review for senior medical appointments.

8. TRAC COMMUNICATIONS AND REPORTING

8.1 TRAC holds a suite of templates for all recruitment communications, which are managed by the Recruitment Team according to this TRAC user guide.

8.2 TRAC can also be used for free-text emails and text messages.

8.3 The system should always be used for such communications, which are stored within the vacancy records, or the candidate records. Note that is is important to send the communication from the relevant section of the vacancy to ensure that the email is stored correctly. .

8.4 Some communications are automatically copied to the Recruiting Manager, such as offer letters, induction bookings and contracts of employment, but all will be contained within the Recruitment File, emailed to the Recruiting Manager as per 6.3.

8.5 TRAC will send an automated 'Managers Update Report' by email to Recruiting Managers each Monday Morning, whilst they have active vacancies within the system associated to the. These reports allow the Recruiting Manager to see the progress of their vacancies, and candidates in the recruitment pipeline.

8.6 The Manager's Update report can also be accessed by the Recruitment Team on an ad-hoc basis for divisions and departments should this be required.

8.7 The Recruitment Team are able to provide a range of other reports on request, as outlined within this TRAC user guide.

9. JUNIOR DOCTORS CHANGEOVER

9.1 In addition to Trust employed Medical posts which are recruited as outlined in the preceding sections of this SOP, the Trust also hosts a number of Medical Training posts where Doctors are employed by a Lead Employer, St Helens and Knowsley (StHK) NHS Foundation Trust, and rotate around hospitals in the region, including WWL.

9.2 The Lead Employer is responsible for recruiting to these training posts, and will update the WWL Recruitment Team regarding progress of recruitment and pre-employment clearances.

9.3 The Recruitment Team will maintain a record of training posts, and which doctors are due to rotate to WWL, from the Lead Employer.

9.4 The Recruitment Team will will work closely with the Lead Employer HR Team in order to understand any vacancies and obtain permission to recruit a LAS (Locum appointed for service) to the training vacancy.

9.5 The Recruitment Team will communicate any known vacancies to the relevant Rota Co-ordinators and Directorate Managers with DDOP's, DMD's and Senior HR Business Partners cc'd, prompting a vacancy request to be raised, and Recruitment will follow the procedure outlined above.

9.6 The Recruitment Team will liaise with incoming trainees to complete a number of documents required in preparation for their rotation.

9.7 The Recruitment Team will liaise with the Medical Education Team in relation to changeover day arrangements, or make a booking for them to attend the Welcome to WWL Induction session in the event they are due to commence outside of the main changeover dates.

10 HUMAN RIGHTS ACT

Implications of the Human Rights Act have been taken into account in the formulation of this document and they have, where appropriate, been fully reflected in its wording.

11 ACCESSIBILITY STATEMENT

This document can be made available in a range of alternative formats e.g. large print, Braille and audio cd.

For more details, please contact the HR Department on 01942 77 3766 or email equalityanddiversity@wwl.nhs.uk

Appendix 1

Definitions

AAC	Advisory Appointments Committee – A panel required for Substantive Consultant Recruitment. Department of Health Guidelines stipulate key members required.
AfC	Agenda for Change – refers to the pay and terms and conditions applicable to all staff groups except medical and dental.
Alert Database	A database maintained internally to record the details of any HPAN's (Healthcare Professionals Alert Notices) – see definition below.
COL	Conditional offer letter - the letter issued to successful candidates outlining the offer of employment, and explaining the conditions of the employment which is subject to being able to satisfy NHS Employment Check Standards, as deemed satisfactory by the Trust.
Cohort	The system used by the Occupational Health Team for processing pre-employment health screenings.
DBS	Disclosure and Barring Service – Government Organisation responsible for provision of criminal records certificates and maintaining list of those wo are barred from undertaking regulated activity with children and vulnerable adults, for disclosure within DBS Certificates.
EEA	European Economic Area – is an economic and political union of 31 countries which allows free movement of people between member states, therefore affecting how a person proves their right to work.
ESR (Electronic Staff Records)	Electronic Staff Records – The Trust's combined HR and payroll system
Factual Reference	A document containing only factual details about a person's employment such as job title, dates of employment disciplinary and absence records.
Fit and Proper Persons Requirements	In addition to the requirements of NHS Employment Check Standards, the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 introduced new rules relating to the recruitment of executive and non-executive directors requiring NHS Organisations to seek the necessary assurances that all directors are suitable and fit to undertake the role.
GMSSM	Greater Manchester Streamlining Staff Movement Project – aims to streamline the movement of Staff between NHS organisations through factual references, DBS Update Service Membership, and sharing of information such as Mandatory training and occupational health records.
HPAN	Healthcare Professionals Alert Notices – A mechanism for an NHS Employer to make other bodies aware that a healthcare professional may pose a threat to patients or staff, as directed by the Secretary of State. A database of HPAN's is maintained, and a check against the database is made during pre-employment checks.
Job Description	A document which outlines the key duties and responsibilities requires of the job role.
KPI	Key Performance Indicators – Target turnaround times for processing the various stages of recruitment, please see appendix 3 of the

	Recruitment and Selection Policy
MCh/MMed Programme	Refers to a programme of International Recruitment whereby Doctors are recruited to undertake a Masters' Degree alongside working full time, for two to three years before returning home. WWL conduct recruitment for a number of other 'host' Trusts.
NINO	National Insurance Number. A unique identifier for employees linking PAYE and NI contributions.
NHS Employment Check Standards	Online guidance available via the NHS Employers Website outlining the standards that NHS Organisations must achieve in the completion of pre-employment checks.
Person Specification	A document that sets out the minimum essential qualifications, knowledge, skills and experience that individuals must possess in order to undertake a particular role, and may also include desirable criteria
Protected Characteristics	The Ten characteristics which are Protected from discrimination under the equality act; • Age • Disability • Gender reassignment • Marriage and Civil partnership • Pregnancy and Maternity • Race • Religion • Belief • Sex • Sexual orientation
Recruiting Manager (RM)	The immediate line manager for each vacancy will usually be the lead for recruiting to the post, referred to as the Recruiting Manager. Clinical Supervisors may be the named Recruiting Manager for Foundation Trainees.
RLMT Resident Labour Market Test	Outlines certain advertising requirements for vacancies where a Certificate of Sponsorship (formerly known as a work permit) will be required for the successful candidate. Where a candidate requires a COS, and a vacancy has not met RLMT, it must be re-advertised, and the Trust must be able to evidence that there were no appointable resident workers, before a COS will be granted.
SAS	Refers to the Terms and Conditions applied to Specialty Doctor and Associate Specialist positions.
Time to hire	TRAC date stamps every recruitment action completed within the system which allows for Recruitment time to hire to be measured, and associated KPI's (Key Performance Indicators) are attributed to the key stages of Recruitment.
TRAC	The Trust's electronic recruitment system.
WTE	Whole time equivalent - expressed as a decimal to demonstrate the proportion of the role compares to a full time position of 37.5 hours under Agenda for Change Terms and Conditions or 40 hours for Medical and Dental.

Appendix 2

Information on Statuses within Cohort Online Pre-employment System for Occupational Health

The employee status of the Pre-placement process will be updated automatically as each stage throughout the process. The statuses that are recorded on the main dashboard are as follows:-

Cohort Status Dashboard		Definition	When to contact O.H
1	**Not completed**	The applicant has not completed questionnaire	O.H cannot advise at this stage until questionnaire has been submitted
2	**Received but not matched**	The complete questionnaire has been received into the Occupational Health system but not processed further	This process should be completed by O.H within 48 hours – please await 48 hours before contacting O.H
3	**Pending/Matched**	The employee record matching process has been completed	As above
4	**Decision not made, additional information required**	The questionnaire is currently being assessed/processed by the O.H department	Form has been processed – please allow 5 working days from process date before contacting O.H
5	**Health Cleared**	The candidate has been either "*Cleared*" or "*Cleared with Restrictions*" for post. If restrictions are applicable they will be listed in the relevant column on main dashboard	Information available via H.R dashboard. If there are additional comments/restrictions the clearance will be e-mailed to recruitment
6	**Health not cleared**	The candidate has not been cleared for post	Please contact O.H to advise on reason for non-clearance

Appendix 3

Welcome to WWL (Formerly Known as Corporate Induction)
All Trust New Starters.

Corporate Induction – Day Two
All Trust New Starters working in a clinical environment (unless they are booked on to the Cavendish or Extended Induction)

Yes	**No**
Physiotherapist	Auxiliary Nurse
Occupational Therapist	Staff Nurse (if booked on Extended Induction)
Speech and Language Therapist	Domestic Assistant
Assistant Practitioner	Pharmacist
Cardiac Clinical Physiologist	
Radiographer	
Advanced Clinical Physiologist	
All RN roles that do not qualify for Extended Clinical Induction (eg FTC <12m)	
Phlebotomist	
Medicines Management Technician (as confirmed with David Broomhall)	
Assistant Clinical Physiologist	
Pharmacists	

Cavendish Induction
Band 1 – 4 new starters who work in a patient facing role, excluding fixed term contracts of 12 months or less and roles with their own bespoke induction programme (resulting in Cavendish Care Certificate)

Yes	**No**
Auxiliary Nurse	Phlebotomists
Physiotherapy Assistant	Housekeepers
Occupational Therapy Assistant	Porters
Assistant Practitioner	Catering
Theatre Assistant	Medical Electronics
Dental Nurse	Pharmacy Assistant

Extended Induction
Nursing (NMC Registered) staff in bands 5 – 7, plus ODP's. Specialist roles with their own bespoke induction programme, and temporary contracts of less than 12 months are not required to attend.

Yes	**No**
Staff Nurse (All Wards bar exceptions opposite)	Staff Nurse (Outpatients and ICU / HDU)
Operating Department Practitioner	Specialist Nurse
Deputy Ward Manager	Midwife
Ward Manager	Midwifery Team Leader
	Physiotherapists
	Occupational Therapists & Podiatrsts
	NMC Registered band 8a plus
	Paeds & Neonatal