

<u>Frequently Asked Questions regarding the Lead Employer Model for Health Education England West</u> <u>Midlands - from our Host Placement Providers e.g. NHS Trusts, General Practices and Hospices</u>

Lead Employer						
Q1	Who is the Lead Employer?					
A1	St Helen's & Knowsley Teaching Hospitals (StHK) will become the Lead Employer for <u>all GP</u> <u>Trainees</u> in the West Midlands from 3 rd August 2016.					
	This means StHK Lead Employer will be responsible for all employment matters relating to the Trainees, including pre-employment checks, issuing contracts of employment, co-overseeing disciplinary processes etc.					
Q2	Why have a Lead Employer?					
A2	A Lead Employer model offers a number of benefits to all stakeholders. NB examples of some of the key benefits are:					
	An end to end Trainee employment life cycle Continuous management and support Equitable treatment of GP Trainees Reduced risk Improved governance Economies of scale savings for the local health economy Overview of region good/bad practice Development of expertise Including for non-core services i.e. Safeguarding Regional 'employment support and expertise' for the Professional Support Unit Supporting Medical Revalidation Regional Training Regional Reporting Greater ability to deliver change across the local health economy Regional/national influence Continuous review of regional services Centralised recruitment Leading to stream line function with pro-active/preventative services Working closely with GMC/BMA/NCAS/JDAT/NHS Employers and other professional bodies					
	NB: StHK is also a Lead Employer for all types of Doctors in Specialty Training for Health Education North West and have been for over six years. Importantly over 90% of the stakeholders (including Hosts, Trainees, HEE and the BMA) feel the Lead Employer model has improved the employment services since it was implemented.					
Q3	How long is the Lead Employer Contract for?					
A3	The contract was awarded following a formal tendering process undertaken by HEE WM. StHK will undertake the role of the Lead Employer for a period of 3 years, with the option to extend this to 5 years in order to allow the model to be fully embedded and to maximise the full benefits realisation for all stakeholders within the HEE WM health economy.					







Q4	How will we know the stakeholder roles and responsibilities will be?			
A4	We will be issuing a contract/memorandum of understanding which will clarify each of the			
Α4	key stakeholder's roles and responsibilities.			
	NB: In the interim please see <u>Appendices 2.1 – 2.4</u> for a summary overview of each of the			
	key stakeholder roles and responsibilities.			
Q5	When will the Lead Employer be implemented by?			
A5	3 rd August 2016			
Recru	itment Matters			
Q6	Who will undertake pre-employment checks?			
A6	StHK as the Lead Employer will undertake all employment checks importantly in line with NHS Employment Checks Standards. The Lead Employer will provide confirmation to the Host Organisations to confirm that all pre-employment checks are completed. Where any potential delays are identified these would be communicated to the Host Organisation without delay. We would also make the Host Organisation aware of any matters which may need to be addressed prior to the Trainee's placement commencing i.e. where local work place adjustments need to be implemented or where we are notified that the Trainee may be on sick leave.			
Q7	How will the Lead Employer inform me who is coming to me and if the pre-employment			
	checks have been completed?			
A7	 Host <u>Trusts</u> will still access information as normal via Intrepid to see which Trainees are rotating to them. The LE will then also issue Host Trusts with key supporting information for the Trainees that are coming to them (correlating with the above) but importantly this will also include personal details, assurance on employment checks and any additional information such as any GMC undertakings. Likewise the LE will issue the same information to non NHS Trust Host Organisations e.g. General Practices and Hospices. Moving forwards this information will be available to Host Trusts via HR Direct and will normally be issued at least 8 weeks before the changeover, noting that rotations can sometimes change. NB: During the current implementation year with restricted time frames please note that			
	the Lead Employer will issue information to all Host Organisations by the week commencing <u>11th July</u> confirming which Trainees are going to which Host Organisations.			
Q8	Will a Trainee be covered for Medical Indemnity Cover throughout their training?			
A8	Yes. Trainees will be provided with Medical Indemnity Cover, noting: When in NHS Trusts, NHSI A CNST cover will continue as normal.			
	 When in NHS Trusts, NHSLA CNST cover will continue as normal. When in non NHS Organisations e.g. General Practice they will be covered by privicover. This will be supplied to the Trainees by a Lead Employer 'block contract' Trainees are not required to obtain their own cover (*There will be a small number Trainees who obtained their own individual cover prior to being advised of the blocover deal who will retain their own individual private cover and for which they have a certificate as evidence). 			

I can confirm that following a formal tender process a supplier has now been awarded this block contract, however in line with procurement legislation there is a holding period in case of legal challenge. Once this expires we will issue confirmation of the key facts and details to all relevant stakeholders on the week commencing 11th July 2016. *This is one of the benefits of moving towards a Lead Employer model as this will generate great efficiencies and savings for HEE WM.

NB: When Trainees are in NHS Trusts NHSLA also covers them for Personal Injury Claims, as confirmed by NHSLA. When in non NHS Organisations e.g. General Practice the organisations must ensure their insurance covers such claims in the unlikely event this should occur (Organisations will normally have such cover as part of their standard arrangements as this is a requirement for patients, contractors etc.).

Q9 How are you communicating with Hosts?

We have and continue to put on a number of stakeholder engagement events and send regular communication emails from both the Lead Employer and HEE WM (*Please note that we are working closely with HEE WM to ensure that our contact lists are kept fully updated). From week commencing 4th July up to change over on 3rd August we will be providing weekly communication updates on key issues and we are also working closely with the BMA regarding our core communications.

Moving forwards beyond the 3rd August we will continue with our stakeholder engagement including regular newsletters, email communications and through our Contract Management Framework which will include regular meetings with our key stakeholders.

All communication updates will also be accessible via our website HR Direct www.leademployer.sthk.nhs.uk for which all Host Organisations will have been given an interim log in and password and individual ones will be issued shortly. If you require access please email Lead.Employer@sthk.nhs.uk

ESR (Electronic Staff Record)

Q10 What is ESR? A10 The Electronic Staff record is a national NHS system used by all Trusts in England for various HR, Payroll and reporting aspects. This is where absences and leave will be recorded by GP Practice Managers, Hospices and NHS Trusts. It will also contain personal details which will be uploaded by the Lead Employer but should be updated by the employee (or line manager when necessary). Q11 When will ESR Manager Self Service be made available? A11 From August 2016. There will be interactive videos available via HR Direct to guide you through how to use ESR, however 1-to-1 sessions will also be available should this be

From August 2016. There will be interactive videos available via HR Direct to guide you through how to use ESR, however 1-to-1 sessions will also be available should this be requested. GP Practices will need to provide Smart Card Details for anyone wishing to access the system and these need to be emailed to ESR.Helpdesk@STHK.nhs.uk. Practices should contact their IT Provider and request for ESR to be installed along with Java V 1.6 update. Should you have any direct questions around this please do not hesitate to contact the Workforce Team on 0151 290 4127 or email the given address above.

Q12 What information will we be required to input on ESR?

A12 | Sickness absence, annual leave, special leave and carer's leave (*Noting Q/A 36).

	In addition, we request that undates to personal information are made on ESP i.e. changes of				
	In addition, we request that updates to personal information are made on ESR i.e. changes of				
	contact numbers and addresses noting the Trainee will have access to and be informed how to undertake this.				
	to undertake this.				
Q13	How will Trainee's access their ESR record?				
A13	Trainees will be issued with a log-in and password for ESR Self-Service and will not b				
\ \13	required to log in via their Smart Cards.				
	required to log in via their smart cards.				
Q14	How long will it take to input sickness, annual leave etc. onto ESR?				
A14	It's a very quick process which will only take a couple of minutes, for which in turn it				
	produces a number of benefits for all stakeholders including minimising levels of sickness				
	absence and more robust management of attendance and study leave allowances.				
Q15	How does ESR interact with E-Portfolio?				
A15	The information won't feed into the E-Portfolio but the HR team at Lead Employer will				
	produce management information reports for HEE WM which will be taken into account by				
	HEE WM for the purposes of ARCP processes etc.				
Q16	What's the difference between ESR and HR Direct?				
A16	ESR is our Electronic Staff Record where all personal information relating to a Trainee will be				
	held.				
	HP Direct is our information charing nortal (an advanced website) which contain				
	HR Direct is our information sharing portal (an advanced website), which contain				
	information relating to policies, procedures, rotation information, contact information and newsletters.				
	Hewsietters.				
Attendance Management					
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The Lead Employer does have a set of templates to support this process which can be found on HR Direct within the Attendance Management Toolkit. **HWWB Matters Q21** What is the process for referring Trainee's into HWWB? A21 The Lead Employer HWWB Manager is currently in discussions with HWWB Managers in the West Midlands finalising the arrangements around referrals and further details will be provided in due course. **Q22** How will Occupational Health Checks be carried out? A22 The HWWB team at StHK will be carrying out the Occupational Health pre-employment checks. NB: > We are in the process of setting up a 'LE Hub & Spoke HWWB Model' and have identified a number of potential Trusts to participate in the model; following feedback we are also looking at the split of these Trusts to ensure that these are geographically well spread > We appreciate that the August 2016 intake is nearly upon us and that the above model will not be fully signed off for this intake. Pending this be finalised the general consensus of opinion and feedback from HEE WM Host Trusts is that for the August 2016 intake they will work with and assist the LE in clearing those Trainees that are due to be based at their own organisations in order to ensure all Trainees are cleared for August 2016 and in post > Please be assured that the LE also has a number of contingency plans in place including being remotely based in HEE WM, private providers as well as number of other viable options if needed (*Noting for the HEE NW LE we have Trainees as high north as Carlisle as well as being based on the Isle of Man, and so we are experienced in setting up models to suit such needs) > Please note that our Head of HWWB is also liaising directly with her HWWB counterparts in HEE WM regarding the above **Induction/Mandatory & Statutory Training** What information will StHK provide to Trainees as part of their own induction to their role as Lead Employer? The Lead Employer will issue an induction presentation to all Trainees' joining StHK from 3rd A23 August 2016. This will remind them of their roles and responsibilities and also clarify those of the other key stakeholders in order to remove any ambiguity. It will include e.g. how they report sickness absence for each Host Organisation. **Q24** What arrangements will be in place for confirming Statutory and Mandatory Training requirements? Will we continue to use the framework in place where Trainees complete the HEE WM 18 core modules? A24 Yes. HEE WM will continue to use the framework in place covering the 18 core modules. Trainees will be expected to complete this prior to commencing their employment and training. Both the Trainee and Host will be able to see that this has been completed so that Hosts can then assess what local requirements may still be needed, if any.

	NB: Host Organisations should continue to provide local inductions as normal whilst noting				
	the above. Once the implementation year is complete the Lead Employer will work with				
	HEE WM and Hosts at developing this area, where viable.				
Payro	Payroll Matters				
Q25	When do we process Trainees as a leaver?				
A25	, , , , , , , , , , , , , , , , , , , ,				
Friday 8 th July 2016.					
Q26	How do Trainee's claim expenses?				
A26	For Trainees still on their GP training as at 3 rd August, all expenses incurred up to 30 th				
	June will be paid by your current employer/payroll provider.				
	Expenses beyond 1st July will be paid by StHK payroll services. Please refer to				
	separate communications issued by Rob Simonds (this information is also available				
	on HR Direct).				
	NB: Trainees who will leave their training programme by 2 nd August following completion				
	of training should submit all of their expenses to their current payroll provider.				
	of training should subtrict an of their expenses to their current payron provider.				
Q27	What do we do for reporting additional duties/Locum Work?				
A27	Jennie Dwerryhouse, Head of Shared Services StHK will contact you separately in this respect				
727	in the next payroll communication. A spread sheet will be provided for completion and				
	submission to StHK. All information and forms will shortly also be available via HR Direct.				
	Submission to Strik. All information and forms will shortly also be available via the Direct.				
	NB: StHK Lead Employer has a tried and tested method that works well for the Lead				
	Employer Host Organisations in the North West and we will adapt this to suit following				
	discussions with HEE WM colleagues.				
	discussions with HEE wivi tolleagues.				
Q28	Who will pay the GP Trainees for 1 st and 2 nd August?				
A28	The GP Practice or Host will pay Trainees for these two dates and issue the P45 to our payroll				
AZO	department - Mrs D Eden , Payroll Account Manager, Pay & Staff Services Department, Lower				
	Ground 1, Nightingale House, Whiston Hospital, Warrington Road, Prescot, Merseyside, L35				
	5DR.				
	AIR. This falls in line with other Dectors sharping pasts in the country on the 3 rd Avgust				
	NB: This falls in line with other Doctors changing posts in the country on the 3 rd August 2016 e.g. Foundation Programme Doctors moving to Specialty Training.				
	2016 e.g. Foundation Programme Doctors moving to Specialty Training.				
Q29	Regarding Removal/Associated and Study Leave expenses will HEE WM Policy still be				
QZ9	applicable?				
A29	Yes. Trainees will be required to adhere to the HEE WM policies, however the Lead Employer				
AZJ	will administer and process the payments.				
	will autilitistel and process the payments.				
□P D	UP Direct 9 Contacting the Load Employer				
ווע אוו	HR Direct & Contacting the Lead Employer				
Q30	How do we access HR Direct?				
A30					
ASU	There is a generic password for Trainee's to access which you will have already received.				
	Host Organisations will also be issued with personal passwords to provide access to accura				
	Host Organisations will also be issued with personal passwords to provide access to secure data including rotational information and personal Trainee information.				

Q31	Where will I find the contact details for the Lead Employer Team?				
A31	*Full details of the Lead Employer Team will be on HR Direct.				
731	Full details of the Lead Employer Team will be on HR Direct.				
	For general project implementation queries, please contact Hayley Proud				
	HayleyProudlove2@sthk.nhs.uk				
	For queries relating to employment matters, please contact Samantha Stretch or Be				
	Griffiths <u>—Samantha.Stretch@sthk.nhs.uk</u> / <u>Beverley.Griffiths@sthk.nhs.uk</u>				
LTFT					
Q32	Who do we send LTFT paperwork too?				
A32	HEE WM is currently looking at this, however in the meantime you should continue to submit				
	these as normal.				
Mater	nity Matters				
Q33	Who should the Trainee inform of their Maternity Leave?				
A33	The Trainee needs to inform their practice manager/medical staffing manager to enable local planning/cover etc. following the Lead Employer Policy Guidance. Please refer to HR Direct				
	however for general enquires please submit these to lead-employer@sthk.nhs.uk (please				
	include GP West Midlands) in the subject header.				
Q34	If we have any Trainees who have gone on maternity leave or their contract extends				
	beyond 2 nd August 2016, what will happen to these Trainees?				
A34	These Trainees will transfer under TUPE to the Lead Employer from 3 rd August.				
	NB: Separate communications will be sent in respect of these Trainees whereby TUPE				
	applies.				
	upplies.				
Q35	Who will carry out maternity risk assessments?				
A35	The General Practice or Trust will complete this as they will naturally have the local				
	knowledge. The form can be found on HR Direct and advice regarding this can be accessed				
	through the HR Lead Employer Team who will readily provide assistance/advice as needed.				
Educa	through the HR Lead Employer Team who will readily provide assistance/advice as needed. tion and Training				
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Q36	tion and Training Who do I contact if I have a query regarding Trainee's Education or Training?				
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Finance Matters				
Q38	Who should we contact if we have any recharging queries?			
A38	Contact details will be available on HR Direct however in the first instance stan.williams@sthk.nhs.uk he will gladly assist with any queries.			
Study	Leave			
Q39	What is the process for processing Study Leave?			
A39	The Lead Employer employment services team and HEE WM have been working together to process map these types of requests and these will be communicated to you in due course and will be available on HR Direct.			
TUPE	Employment Enquiries			
Q40	Are we required to issue Honorary Contracts from 3 rd August for Trainee's placed with us?			
A40	Key points to note:			
	 The Lead Employer will issue the Trainees with Contracts of Employment for duration of their training programme. Trainees will be covered for Medical Indemnity and Personal Injuries, as specified question 7. Lead Employer and Host Organisations will have contract/memorandum understanding, as defined in question 3. HEE WM and Host Organisations also have their LDA. In light of the above there is no requirement for Host Organisations to issue Trainees plawith them with an Honorary Contract, and these arrangements are in place with all L Employers in the North of England. 			
Q41	Will Hosts be involved in issuing Junior Doctor Contracts and Offers from 3 rd August?			
A41	No, noting:			
	Any offers and contract of employment issued for employment commencing beyond 3 rd August will be issued by StHK.			
	As previously outlined all new starters GPST1's have issued with a conditional offer of employment by StHK.			
	➤ All GPST 2's and 3's as of the 3 rd August who complete their <u>current contracts</u> of employment on 2 nd August have also received their conditional offers by StHK from 3 rd August.			
	➤ Any Trainee who is mid-way through a contract on the 3 rd August with their current employer will <i>TUPE Transfer</i> their employment to StHK, noting:			
	Debbie Livesey Head of HR & Stakeholder Engagement and Hayley Proudlove HEE WM Project Manager are currently liaising with all affected stakeholders.			
	The BMA are fully support the LE Model and are therefore assisting the LE with this exercise to ensure a smooth transition.			

Q42	How will we manage HR issues and report these from 3 rd August?		
A42	The Lead Employer will have an additional HR Manager to oversee case management specifically for the West Midlands, and will also have a designated employment services team to address any general enquiries as well as relevant toolkits and policies being accessible through HR Direct. The Lead Employer HR Team is supported by a number of relevant support functions including Medical Directors, Safeguarding, Counter Fraud etc. You will shortly receive flowcharts to assist you in directing queries/obtaining advise from the Lead Employer and these will be available on HR Direct.		
Q43	Will we still report cases into the PSU?		
A43 There will be no changes to the current arrangements for referring Trainee's into			
	The Lead Employer is liaising with the PSU to ensure actions from the PSU for the attention of the LE can be undertaken. The Lead Employer is also developing reporting mechanisms into the PSU to ensure case updates can be provided as required.		
Q44	What do I do if I have a concern about a Trainee's attendance/sickness/conduct? How will I be notified if there is a concern about a Trainee?		
A44	The Human Resources team within the Lead Employer will be readily available to answer any queries you may have and advise accordingly. The HR Team will produce regular reports which monitor Trainee's attendance and will highlight any issues to you. HR Direct will also highlight any management information which will be forwarded to you before the Trainee commences their placement i.e. restrictions to practice, adjustments etc.		
Q45	Who will conduct disciplinary investigations?		
A45	Local investigations will be conducted by the Trust/GP Practice/Hospice who will have the local knowledge. Any disciplinary hearings will be co-ordinated and carried out by the Lead Employer, with support from the Host organisations to appoint investigator officers for example. The decision to investigate matters is however approved by the Lead Employer Medical Director in conjunction with Host Medical Directors and key Educational Stakeholders as required and in line with relevant legislation and advice e.g. MHPS, Performers List Regulations and NCAS.		
Q46	How does the Lead Employer model impact the process whereby GP Trainees working in a General Practice must comply with the Performers List Regulations?		
A46	Please see Appendix 1.1 for a summary overview.		
Q47	Are the key stakeholders authorised to share information on Trainees?		
A47	Yes. The Lead Employer requires Trainees to give authorisation that any stakeholders involved in their education and training may share relevant information with each other in order so that employment and training can be provided. The Lead Employer will also have Information Sharing Agreements with Host Organisations.		
Q48	Will all of the key documents including policies, processes etc. be available on HR Direct by the 3 rd August 2016?		
A48	Yes.		
Q49	Will the Lead Employer ensure it liaises with Host Organisations regarding national matters such as the National Contract, Industrial Action etc.?		
A49	Yes. We will ensure that we keep in regular liaisons with Host Organisations working in partnership to ensure that such matters are managed to suit all stakeholder needs.		

SUMMARY OF THE KEY FACTS RE THE PERFORMERS LIST

- When a GP Trainee is working in a <u>General Practice Placement</u> they must comply with the Performers List Regulations including applying to join <u>before</u> they commence their GP Placement. LE have already sent full information to all Trainees even if they are going into ST1
- Please note that the Lead Employer is not responsible the process of placing Trainees on the Performers List and they must apply directly to www.performer.england.nhs.uk
- > It is the individuals responsibility to ensure that they comply with the Performers List Regulations
- ➤ Plan for future LE will provide the Performers List with the new starters and current employees rotating contact details, GMC number and if there are any GMC restrictions a minimum of 8 weeks before the trainees are due to start in post (depending upon receipt of the rotation from HEEWM). This will be done via HR Direct.
- ➤ Plan for now We will send the Performers List all WM GP's going into Practice on the 3rd August via a spreadsheet.
- Escalation process prior to starting in post As soon as we are notified a Trainee has not applied we will contact the Trainee by email. At the same time we will upload the spread sheet onto HR Direct for the Practice Manager to review (an email will be sent to PM's to prompt them to review HR Direct). Where Trainees have not applied before they are due to commence their placement their conditional offer of employment may be withdrawn, however the Lead Employer has processes in place to avoid this and so it would be very rare for this to occur.
- ➤ Once the Trainee <u>applies</u> they can start in post, however they must then also ensure that they are then fully signed on to the performers list within 3 months of their start date.
- Our escalation process within three months of starting is:
 - The Performers List provide a list of those Trainees not yet fully registered to the LE after 2 months of placement start date
 - LE will send an email to the Trainee immediately, follow one week later by an escalation email a week later a final email
 - At the same time this will be uploaded to HR Direct for Practice Manager to review (an email will be sent to prompt review)
 - Where individuals have not fully registered on the Performers List within 3 months of commencing their placement, the employee may be suspended and investigated in line with the LE Disciplinary policy, as per the Safer Recruitment and Employment Policy
 - Our escalation process is though designed to avoid the above point being necessary

Lead Employer Overview:

Undertakes recruitment	Provides a suit of Lead Employer Policies
Issues offer letters	Oversees Occupational Health/HWWB matters
Completes employment checks	Oversees national changes e.g. New Contract, Performers List, Indemnity
Arranges e.g. Medical Indemnity Cover	Deals with Trainee employment queries
 Assists Trainees e.g. joining the Performers List, Physician Associate Registration 	Deals with Host employment queries
Issues Contracts of Employment	Deals with HEE employment queries
Issues Amendment to Contracts	Deals with ad hoc employment queries e.g. Safeguarding, GMC, Police, NCAS etc.
Payment of salaries and expenses	Oversees Grievances
Issues Hosts rotational information/employment assurances	Oversees Investigations
Processes ad hoc matters e.g. maternity etc.	Conducts Disciplinary hearings
Processes/oversees Access to Work cases	Provides Guardian Cover for GP Practices (*Subject to HEE & National Discussions)
Provides Regional Training Events	Streamlining IT Systems HR Direct, ESR Manager/Self Service, E-expenses etc.
 Continuous Development of employment services for all stakeholders 	Generate efficiencies and savings for the local health economy e.g. procurement of indemnity cover
This list is not exhaustive	

Host Placement Provider Overview e.g. General Practice, Hospitals, and Hospices where Trainees receive training:

- Provides training placement, as normal
- Provides local induction and invites Trainee
- > Produces and issues and monitors contract compliant Rota's.
- > Provide 'day to day supervision' in line with LE Policies if required e.g.
- ➤ Absence e.g. reporting, self-certificates, return to work interviews
- Grievance conduct local investigation
- Disciplinary –conduct local investigations
- Maternity/Paternity/Special Leave etc.
- ➤ Communicates with Lead Employer regarding employment matters e.g. health, absence, grievance, disciplinary issues etc.

Trainee Overview:

- Comply with contract of employment
- Comply with Lead Employer, Host and HEE policies and procedures as required and instructed
- ➤ Comply with professional obligations e.g. GMC, Performers List etc.
- Comply with statutory and legal obligations e.g. right to work in the UK
- > Comply with HEE training requirements
- > This list is not exhaustive

Health Education England Overview:

- > Will continue to oversee the education and training matters for GP Specialty Trainees
- > This list is not exhaustive