

HONORARY ARRANGEMENTS POLICY

Document Reference	HR12.HA.V3
Document status	Final
Target Audience	All staff
Date Ratified	17 December 2015
Ratified by	Policy Committee
Release date	11 January 2016
Review Date	January 2019
Sponsor	Kath Griffin, Director of Human Resources

Version Control

Version	Date of Amendment	Author	Update comments
1.0	April 2011	Vicky Bowmaker, HR Administration Manager	
2.0	September 2012	Jan Armstrong, Deputy Director HR	
3.0	December 2015	Vicky Bowmaker, Employee Services Manager	

CITY HOSPITALS SUNDERLAND NHS FOUNDATION TRUST

DOCUMENT APPROVAL PROFORMA

Policy Title: Honorary Arrangements Policy			
Policy Number: HR12.HA.V3			
Name of Author: Vicky Bowmaker, Employee Services Manager			
Name of Sponsor: Kath Griffin, Director of Human Resources			
New Policy: No			
Reviewed Without Amendments: No			
Type of Policy: Human Resources			
Equality Impact Assessment: If this policy has a potential discriminatory impact please record below the person who has informed and involved the sponsor:			
Name: Vicky Bowmaker			
Title: Employee Services Manager			
Date: December 2015			
NB: It is the sponsor's responsibility to submit the policy through the CHS approval route.			
Checklist for the review and approval of the policy			
	Is the policy compliant with:	Yes/No	Comments
	Corporate style	Yes	
	Format including duties,	Yes	
	Content; intended outcomes clearly described	Yes	
	Evidence base; key references included and cited in full	Yes	
	Associated documentation recorded	Yes	
	Review/consultation process: List of groups/committees included	Yes	

	with the policy		
	Appropriate stakeholders consulted	Yes	
	Approval: Staff side committee (if appropriate)		
	Dissemination & implementation: appropriately described	Yes	
	Training: requirements included (where appropriate)	Yes	
	Document control: table updated appropriately	Yes	
	Monitoring compliance/ effectiveness: adequate description and appropriate monitoring	Yes	
	Review date: identified and acceptable	Yes	
	Page numbers: correct with index	Yes	
	Intranet to be updated: Record the date and person responsible	Yes	Deputy Head of Corporate Affairs 11 01 16
	Individual approval; Policy author	Date	Sign
	Director of Corporate Affairs: update version control and approval of the process	Date	Sign 11 01 16
	Policy archived		11 01 16

Committee Ratification

Committee for ratification: Policy Committee

Date of approval: 17 December 2015

Chair of Committee: Mike Davison

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1 INTRODUCTION

Within City Hospitals Sunderland NHS Foundation Trust (hereafter referred to as the Trust), there are individuals carrying out work who are not paid employees. These individuals include clinicians, researchers, managers or those in other roles who have joined us for the purposes of education and/or to gain experience.

In addition, if their clinical interaction, research activity or period of education or observation involves Trust employees or patients and has a direct bearing on the quality of patient care or the use of their organs, tissue or data then we must issue such individuals with an honorary contract.

This is to ensure they are bound to take proper account of the NHS 'duty of care'; and that the Trust in turn discharges its own 'duty of care' for the individual.

The circumstances in which honorary contracts are required / must be requested are as follows:

- a) Where there is no contractual relationship between the individual(s) and the Trust,
AND
- b) The individual(s) will be interacting, directly or indirectly, with patients,
AND
- c) This interaction will have a direct bearing on the quality of patient care
OR
- d) The individual(s) is/are undertaking pre-registration training at a University, which is not covered by a Service Level Agreement with the Trust.

An honorary contract/arrangement is not required / individuals will be classed as 'visitors', if:

- a) They have an existing contractual relationship with the Trust,
OR
- b) Their activities will have no **direct bearing on the quality of care of patients (see below)
OR
- c) The individual is a Consultant who holds a Certificate of Fitness for Honorary Practice

** A "direct bearing on the quality of care" suggests that the actions of researchers could foreseeably directly affect the type, quality or extent of prevention, diagnosis or treatment of illness or foreseeably cause injury or loss to an individual to whom the organisation has a duty of care. e.g. if an individual is attending the Trust for training and a patient may be involved in the teaching (with their consent given), this activity will have no direct bearing on the quality of care of the patient. In this instance the department must ensure the individual is supervised at all times.

Honorary arrangements for individuals conducting research at the Trust are covered under the National Institute for Health Research - Research Passport Scheme (section 5.4).

2 PURPOSE AND SCOPE

The purpose of this policy is to protect patient safety, by ensuring that those persons issued with Honorary Contracts are fit and proper.

The policy sets out the checks that must be completed before any honorary arrangement is approved / agreed, in accordance with the NHS Employment Checks Standard.

It is important to note that without an honorary contract, an individual working or attached to a department will not be covered under the Trust's insurance policies, and hence will not be indemnified. No individual should be allowed to participate or observe in a department without the appropriate honorary contract.

This policy does not apply to individuals who are delivering services that are covered by Contracts of Services that have been arranged through the Trust's formal tendering process or those where a Service Level Agreement has been negotiated between the Trust and another organisation. Neither does it apply to an individual undertaking work experience or voluntary work within the Trust.

3. DUTIES

3.1 Board of Directors

The Board of Directors is responsible for monitoring and approving a framework to support honorary arrangements that are compliant with all relevant legislation, guidelines and NHS best practice standards.

3.2 Chief Executive

The Chief Executive has ultimate responsibility for ensuring that honorary arrangements are in place and are compliant with all relevant legislation, guidelines and NHS best practice standards.

3.3 Director of Human Resources

The Director of Human Resources is the nominated Executive Committee lead for the management of this policy and is directly responsible to the Chief Executive for facilitating the implementation following consultation with the staff side representatives.

3.4 Applicants

- To complete an honorary contract application form accurately and submit to the Human Resources Department OR to complete and submit relevant research documentation to the Research & Development Department.
- To provide the Human Resources Department with relevant documentation in order to satisfy pre-engagement checks in line with the NHS Employment Checks Standard.
- To maintain registration with the appropriate Regulatory body throughout the duration of the honorary contract/research passport where necessary.
- To promote and maintain the interests and reputation of the Trust at all times.
- To adhere to Trust policies and procedures at all times.

- To inform the Human Resources Department should there be any change in their employment check status e.g. change to criminal record status.

3.5 Human Resources Department

- Ensure that all pre-engagement checks are undertaken in line with NHS Employment Checks Standard.
- Issue honorary contracts, letters of access, honorary research contracts or research passports as required.
- Keep records of all individuals undertaking honorary or research work with the Trust as per audit requirements.

3.6 Research & Development Department

- Provide a single point of contact for externally employed individuals seeking to conduct research in NHS organisations.
- Assess the need for an honorary research contract or letter of access from the individual's employment status and the nature of the proposed research project or programme.
- Assess the need for pre-engagement checks with advice from Human Resources colleagues.
- Ensure that Research Passport evidence of appropriate pre-engagement checks in accordance with NHS Employment Checks Standard is forwarded to the Human Resources Department so that an honorary research contract or letter of access can be issued if needed.

3.7 Head of Service/Directorate Manager

- Responsible for monitoring the individual's work/activities/standards within the Trust.
- Ensure departmental induction is completed.
- Ensure the individual works safely within the department.
- Ensure the individual has regular 1:1 meetings and is invited to / attends team meetings and briefings.

4 **DEFINITIONS**

Honorary Contract (sometimes referred to as a 'Letter of Access') – is a contract used for situations where individuals from other organisations work in an unpaid capacity at the Trust, but whose paid employment contract is with another organisation.

Service Level Agreement (SLA) – generic term used for agreements between the Trust and other organisations for delivery of service.

Certificate of Fitness for Honorary Practice – a certificate to show that a consultant is fit to carry out clinical work on a short term, ad hoc or urgent basis in another organisation, without the need for an honorary contract of employment.

Research Passport Scheme - Please refer to the Research in the NHS HR Good Practice Document and the Research Passport System - http://www.nihr.ac.uk/systems/Pages/systems_research_passports.aspx

5 PROCEDURE

5.1 **Applying for an honorary contract**

The applicant must complete an honorary contract application form (**Appendix 1**) and submit this to the Human Resources (HR) Department.

Should a request come from the Directorate wishing to establish an honorary arrangement, the Human Resources Department will forward an application form to the relevant individual for completion and return.

Applications for honorary arrangements should be submitted to the HR Department **at least 8 weeks before** the proposed date of commencement to allow enough time for pre-engagement checks to be carried out.

5.2 **Pre-engagement checks**

In line with the NHS Employment Checks Standard, individuals wishing to commence with the Trust under an honorary arrangement must have satisfied all the required pre-engagement checks.

For applicants who hold a substantive contract of employment with another NHS Trust, the HR Department will request the employing NHS organisation to complete and return a pro-forma (**Appendix 2**) to confirm they have completed all employment checks in line with the NHS Employment Check Standards.

Pre-engagement checks will also be completed as necessary for those individuals entering the Trust under the Research Passport Scheme.

Verification of Identity checks

The process involves checking two elements of a person's identity:

- Attributed identity - the evidence of a person's identity that they are given at birth including their name, place of birth, parents' names and addresses.
- Biographical identity - a person's personal history including registration of birth, education and qualifications, electoral register information, details of taxes and benefits paid by or to the person, employment history, interactions with banks and utilities providers.

Note: A list of acceptable personal identification documents is provided in Appendix 3 and in NHS Employers' Verification of Identity Checks standard at

<http://www.nhsemployers.org/Aboutus/Publications/Documents/Verification%20of%20identity%20checks.pdf>

Right to Work checks

For applicants who hold a substantive contract of employment with another NHS Trust, the HR Department will ask the employing NHS organisation to confirm the individual's right to work by returning a completed pro-forma (Appendix 2)

For applicants who do not hold a substantive contract of employment with another NHS Trust, in order to confirm the applicant's right to work, the HR Department will ask to see one of the documents or combinations of documents specified within the NHS Employers Right to Work Standard at <http://www.nhsemployers.org/Aboutus/Publications/Documents/Right%20to%20work%20checks.pdf>

Professional Registration and Qualification checks

For any health professional applying to work under a honorary arrangement the following will always be checked:

- That the applicant is registered to carry out the proposed role. This will be done via the relevant website and by asking the candidate for evidence of up to date registration;
- Whether the registration is subject to any current restrictions which might affect the duties proposed. This will be done by checking the relevant website;
- If the applicant has any investigations against them about their fitness to practise that the regulatory body has a duty to disclose. This will be done by checking the relevant website

For applicants who hold a substantive contract of employment with another NHS Trust, the HR Department will ask the employing NHS organisation to confirm details of the individual's professional clinical registration, which will then be checked against the relevant website as stated above. The NHS employing organisation will also be asked to confirm they have received proof of qualifications.

For applicants who do not hold a substantive contract of employment with another NHS Trust, the HR Department will ask the applicant to provide evidence of their professional clinical registration which will be checked against the relevant website as stated above. The applicant will also be asked to provide proof of qualifications that are relevant to the honorary arrangement.

Employment History and Reference checks

The Trust will check a minimum of 3 years' previous employment and/or training history. This will include (where the applicant is or has recently been employed) 2 references from the most recent employer(s). Where the applicant has had more than 2 employers in the last 3 years, further references will be required. The same criteria will apply for applicants who have no employment history, i.e. 2 references will be sought from the most recent training/educational body.

For applicants who hold a substantive contract of employment with another NHS Trust, the HR Department will ask for confirmation of employment history and reference checks via the pro-forma (Appendix 2).

For clinical staff who hold GMC registration, the Trust will request information to confirm revalidation and appraisal information from the individual's current

Medical Director, Revalidation Officer or Educational Supervisor. This information will be requested using the Trust's standard request form.

Criminal Record Checks

The Disclosure and Barring Service (DBS) provides three levels of disclosure – standard, enhanced and enhanced with barring list check. The level of check required is carried out in line with DBS guidelines depending on the individual's job role.

For applicants who hold a substantive contract of employment with another NHS Trust, the HR Department will ask for confirmation via the pro-forma (Appendix 2), from the applicant's employing organisation that a DBS at the equivalent level has been carried out within the last 3 years and the DBS disclosure number. If a DBS has not been carried out within the last 3 years it is the responsibility of the employing Trust to complete this.

For applicants outside of the NHS, the HR Department will request that the individual provide a copy of their most recent DBS disclosure. If the individual is unable to provide this information, it is the responsibility of the employing organisation to complete a DBS. If they are unable to complete this, then the HR Department will complete this and re-charge the employing organisation.

The decision rests with the Director of HR as to whether or not a person whose DBS disclosure reveals a conviction or other information, will be able to take up an honorary agreement or research post. A person's criminal record will be considered in the light of all the relevant circumstances and judged on a case-by-case basis.

Occupational Health checks

For applicants who hold a substantive contract of employment with another NHS Trust, the HR Department will ask for confirmation via the pro-forma (Appendix 2), from the applicant's employing organisation, that Occupational Health clearance has been completed for their current position of employment. If Occupational Health clearance has not been carried out it is the responsibility of the employing Trust to complete this.

For applicants outside of the NHS, the HR Department will request that the individual undergoes Occupational Health clearance provided by the Trust for which a charge will be made.

5.3 Issuing Honorary Contracts

Once an applicant has satisfied all the required pre-engagement checks, the HR Department will issue an honorary contract, along with the following documents:

- Maintaining Medical Excellence (medical staff only)
- Summary of Health Records Policy
- Fitness to Practise Statement (medical staff only)
- Standards of Business Conduct Policy
- Declaration Form

5.4 Certificate of Fitness for Honorary Practice

This is an agreed means between NHS employers and the Academy of Medical Royal Colleges, by which consultants can carry out short-term, ad hoc or urgent activity in another NHS organisation, without the need for an honorary contract of employment. The certificate aims to support NHS Trusts in being able to cover absences and respond to emergencies where there is no time to carry out employment checks.

The certificate may be requested at appraisal by a consultant and contains all the relevant information to show that he / she is fit to carry out clinical work on a short term, ad hoc or urgent basis. Once completed, the certificate should be held on the consultant's personal file, so that it can be produced should he / she be asked to assist in patient care at another organisation. A record of attendance would be completed by the host organisation (in this case the Trust), to record the fact that such 'honorary practice' has been carried out.

The certificate would be requested by the HR Department prior to the consultant commencing duties at the Trust in order that information contained within the certificate can be validated. More information about this is available on NHS Employers website at www.nhsemployers.org

5.5 Working Time Directive

When an individual holds an honorary agreement but also works somewhere else, the individual and the Trust need to ensure that the Working Time Directive is complied with in terms of the total number of hours worked with regard to the appropriate breaks.

5.6 Departmental Induction

The nominated Supervising Officer will be responsible for ensuring that the individual completes a department induction and is made aware of the relevant Health and Safety and other relevant policies, procedures and protocols for the department.

6 MONITORING COMPLIANCE / EFFECTIVENESS OF THE POLICY

Requirement	Frequency	Person Responsible	Reporting To	Action Plan By	Monitored By
All individuals working at CHS and who require an honorary contract or letter of authority, have been appropriately vetted/checked.	Annual	Employee Services Manager	Senior HR Team Meeting	Deputy Director of HR	HRSG

7 DISSEMINATION, IMPLEMENTATION AND TRAINING

- Team Brief
- CHS Intranet – HR Policies
- Recruitment and Selection Training

8 CONSULTATION, REVIEW AND APPROVAL/RATIFICATION

8.1 Consultation

- Human Resources Strategy Group
- Joint Consultative Group

8.2 Approval

- Executive Committee

8.3 Ratification

- Policy Committee

8.4 Review

- Every 3 years

9 REFERENCES

NHS Employment Checks Standards

10. ASSOCIATED TRUST DOCUMENTATION

- Equality and Diversity Strategy
- Criminal Background and DBS Policy
- IM&T Security Policy
- Data Protection and Personal Information Handling Policy
- Recruitment & Selection Policy
- Employment Checks Policy
- Locum Doctor and Agency Worker Policy

CITY HOSPITALS SUNDERLAND NHS FOUNDATION TRUST

HONORARY ARRANGEMENT APPLICATION FORM

Note - Applicants who currently hold a substantive contract of employment with a NHS organisation need only complete sections 1 to 4 and section 7 of this application form

SECTION 1 - PERSONAL DETAILS

Surname/Family Name	
First name(s)	
Title	
Home Address	
Postcode	
Country	
Home Telephone	
Mobile Telephone	
Work Telephone	
E-mail Address	

SECTION 2 - CURRENT EMPLOYMENT DETAILS

Employer Name	
Employer Address	
Postcode	
Telephone	
Job Title	

SECTION 3 - WORK PERMIT

Please supply details of any work permit currently held:

Work permit type	
Start Date	
Expiry Date	

Note: Please attach copies of the above with this application form

SECTION 4 - MEMBERSHIP OF PROFESSIONAL BODIES

Include in this section any relevant professional registration or memberships. If you are registered then please enter the relevant details below; this information will be subject to a satisfactory check.

- UK professional registration not required
- I have current UK professional registration as detailed below

Professional Body	
Membership or Registration Type	
Membership Number/Registration PIN	
Expiry/Renewal Date	
Responsible Officer Name and Contact Details (if applicable):	

Are you currently the subject of a fitness to practise investigation or proceedings by a licensing or regulatory body in the UK or any other country?	Yes <input type="radio"/> No <input type="radio"/>
Have you been removed from the register or have conditions been made on your registration by a fitness to practise committee or the licensing or regulatory body in the UK or any other country?	Yes <input type="radio"/> No <input type="radio"/>
If applicable, please provide details of any conditions/restrictions you may have.	

SECTION 5 - QUALIFICATIONS

Please state below qualifications relevant to the honorary arrangement position

Please attach copies of the above with this application form

SECTION 6 - REFERENCES

Please state the names and contact details of the people who the Trust can contact. These must cover a minimum period of the last 3 years and include your current employer.

Referee 1

Surname/Family Name	
First name(s)	
Title	
Job Title	
Address	
Postcode	
Country	
Mobile Telephone	
Work Telephone	
E-mail Address	

Referee 2

Surname/Family Name	
First name(s)	
Title	
Job Title	
Address	
Postcode	
Country	
Mobile Telephone	
Work Telephone	
E-mail Address	

Referee 3

Surname/Family Name	
First name(s)	
Title	
Job Title	
Address	
Postcode	
Country	
Mobile Telephone	
Work Telephone	
E-mail Address	

SECTION 7 - HONORARY ARRANGEMENT DETAILS

Base for honorary arrangement activities – department and site		
Supervising Officer for the Trust (<i>person responsible for the individual's activities within the Trust</i>)		
Period of honorary arrangement	To:	
	From:	
Please provide a brief description of your role here:		

I have discussed my level of involvement within the Trust with the Supervising Officer for the Trust and I am fully aware of my responsibilities.

I declare that the information I have given on this application is true to the best of my knowledge. I understand that giving false information or incomplete information would disqualify me from consideration or in the termination of the honorary arrangement.

I declare that I have read and understood the Trust's policy in relation to honorary arrangements and that I must not commence activities within the Trust until an honorary contract has been approved and all pre-engagement checks have been confirmed.

Signed	
Print Name	
Date	

Please return this form to:

Employee Services
 Human Resources Department
 Trust Headquarters
 Sunderland Royal Hospital
 Kayll Road
 Sunderland
 SR4 7TP

<p><u>CITY HOSPITALS SUNDERLAND NHS FOUNDATION TRUST</u></p> <p><u>HONORARY CONTRACT – RECRUITMENT INFORMATION PROFORMA</u></p>

Name of employee	
Job title	
Substantive employer	
Date of appointment to Trust	
Employment end date (if applicable)	
Verification of identification documents	
Verification of right to work	
Details of any visa documents including number and expiry date (if applicable)	
Professional registration details	Professional body: Registration number: Expiry date:
Proof of qualifications received	
Proof of satisfactory references received	
DBS	Type: enhanced/standard/none Reference Number: Date of disclosure:
Date of occupational health clearance	

Date of last appraisal/PDP:	
------------------------------------	--

<u>Any further comments</u>

I confirm that the above employment checks have been conducted in line with NHS Employment Check Standards.

I agree that should any of the above employment information change during the period of the honorary contract, the employing Trust agrees to inform City Hospitals Sunderland NHS Foundation Trust.

Completed by – name	
Job title	
Contact Details	Telephone number: E-mail address:

HONORARY ARRANGEMENT CHECKLIST

HONORARY ARRANGEMENT INFORMATION			
Base for honorary arrangement – department and site			
Supervising Officer			
Period of honorary arrangement		To	
		From	
Name and address of employing organisation			
Employer telephone number			
VERIFICATION OF IDENTITY			
Name			
Confirmation Of Address			
Contact Number(S)	Home:		
	Mobile:		
Photographic ID	National ID card OR	Yes/No Ref No:	
	Passport OR	Yes/No Ref No:	
	Photographic Driving Licence OR	Yes/No Ref No:	
Non Photographic ID	National Insurance Number	Yes/No Ref No:	
	Recent Utility Bill	Yes/No	
	Current Tax Bill OR	Yes/No	
	Bank / Building Society Statement OR	Yes/No	
	Mortgage Statement	Yes/No	
	Birth Certificate OR	Yes/No	
	Marriage Certificate OR	Yes/No	
	Paper Driving Licence OR	Yes/No	
	Benefit Book	Yes/No	
Verification of identification confirmed by NHS employing organisation			Yes/No
ID Verified:	HR Administrator Name:		Date:
RIGHT TO WORK			
<i>All sections must be initialled by HR admin completing sections</i>		Initials	Notes
Does the individual have the right to work in the UK	Yes/No		
Visa Number			
Start Date			
Expiry Date			
PROFESSIONAL REGISTRATION & QUALIFICATIONS			
<i>All sections must be initialled by HR admin completing sections</i>		Initials	Notes
Number and expiry date:			
Website checked date:			
Name of website checked:			
Licence to practise confirmed via website (medical staff only):	Yes – complete sections below No – flag with DHRM		
Professional alert spreadsheet checked and outcome:			

Medical Indemnity (doctors only)	Yes – copy taken for file		
Qualifications Received/confirmed by NHS employing organisation	Yes/No		
Fitness to Practise Form	Yes/No/Not Required		
Revalidation Officer information received (if applicable)	Yes / No / NA		<i>GMC registered clinicians only</i>
REFERENCES (TO COVER 3 YEAR HISTORY)			
All sections must be initialled by HR admin completing sections		Initials	Notes
REFERENCE 1			
Date requested			
Date received			
Date chased for reply:			
Acceptable?	Yes/No		
REFERENCE 2			
Date requested			
Date received			
Date chased for reply:			
Acceptable?	Yes/No		
REFERENCE 3 (IF APPLICABLE)			
Date requested			
Date received			
Date chased for reply:			
Acceptable?	Yes/No		
Verification of satisfactory references confirmed by NHS employing organisation	Yes/No		
CRIMINAL RECORDS – DBS DISCLOSURE			
All sections must be initialled by HR admin completing sections		Initials	Notes
Disclosure required (delete as appropriate)	Enhanced/Standard/None		
DBS information received from NHS employing organisation	Yes/No		
Clear Unique DBS number			
Date sent to DBS:			
Date certificate received:			
Positive DBS Disclosure?	Yes/No		
Date of outcome of positive DBS			
Director of HR Decision:			
OCUPATIONAL HEALTH CHECK			
All sections must be initialled by HR admin completing sections		Initials	Notes
Health clearance received from NHS employing organisation	Yes/No		
Date questionnaire issued:			
Fit for proposed placement	Yes/No		
FINAL VERIFICATION OF DOCUMENTS PRIOR TO ISSUE OF CONTRACT			
Date of Final Check	Initials	Date Contract Issued	