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**Processes for issuing Honorary contracts**

**with the**

**University of Exeter Medical School**

**Full version**

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**1 Categories explained in this document**

This document explains the processes for the engagement of honoraries and individuals not employed by the University but who have a role with the University. Also explained is the process for gaining the honorary contracts for academic staff who hold an honorary role with a healthcare provider.

Fig 1 Categories explained in this document

**Please note:** None of these categories are for registered students, nor any member of staff whether paid through payroll, casual payroll and/or through temporary payments

**2 Categories**

**2.1 Associate status (for IT access and ID card)**

Associates are individuals from outside of the University of Exeter who are not University of Exeter employees nor honoraries but require IT access and a ID card for their role with the University. There are no Occupational Health requirements (e.g. medical checks) for this group. If a person has a work-related reason to access University facilities they can apply for a username and password and an ID card. This category is not applicable students or any member of staff as they will be issued with IT access and an ID card automatically as part of their registration. This category is defined and maintained by IT Services and there is no involvement from HR.

**2.1.1 Application for associate status**

Any member of staff can request associate status on behalf of another person by going to <http://directory.exeter.ac.uk/> and clicking on the Online System link. The member of staff logs into the Online System using their Single Sign On and enters the required information which is then authorised electronically by the Locality Administrator.

**2.1.2 Application for access to Plymouth University (PU) IT systems**

Access to Plymouth University IT systems may be needed by anyone related to the University of Exeter who is involved in teaching joint students as part of Teach Through arrangements as well as IT staff who are involved in moving data from PU to the University of Exeter. Locality administrators co-ordinate the request for IT access with Plymouth University.

1. The Locality Administrator sends the following documents to the applicant: PU Discretionary Membership form, the PU Discretionary Membership - Policy for the Use of IT facilities and PU General Rules for the use of PU Computing Facilities
2. The applicant returns the forms and the Locality Administrator obtains signed approval from the University of Exeter proposer (such as the line manager). The forms are then sent to PUPSMD Head of Administration
3. PU Head of Administration ensures the Discretionary Membership form is signed, authorises the form and sends it to PU IT for implementation
4. PU IT processes the application, generates a PU IT account and sends details of the IT account to the applicant.

**2.2 Standard university honorary appointments**

This arrangement engages esteemed individuals from other institutions and businesses with academic staff and forms the majority of honorary contacts. It allows individuals access to certain University of Exeter facilities to further their own research or to cooperate on joint research and/or education to the mutual benefit of both themselves and the University. The Standard University Honorary appointment is not a contract of employment and honoraries will not receive any remuneration for work they undertake in their honorary capacity. These roles do not have a job description and they are not advertised. There are no Occupational Health requirements (e.g. medical checks) for this group. Honorary appointees may use the University of Exeter Library, use the staff facilities in Reed Hall, use facilities in the College (by agreement with the College PVC) and include their status as an Honorary member of the University of Exeter in any publications if they so wish. However, they are requested not to use the University of Exeter branding (i.e. headed paper, compliments slips etc) in correspondence with third parties as this may imply that the research has been conducted under the auspices of University of Exeter. The University reserves the right to terminate an honorary appointment at any time and for any reason prior to its expiry.

Honoraries appointed for clinical and non-clinical education are approved by the Vice Dean for Education and take up honorary roles such as lecturer, associate professor and professor. Honoraries appointed for research are approved by the Vice Dean for Research and take up honorary roles such as research assistant and research fellow. A registered student, or any member of staff whether paid through payroll, casual payroll and/or through temporary payments does not require an honorary contract to carry out teaching or teaching related duties as they are assigned the accesses they need automatically at registration.

**2.2.1 Process for issuing standard university honorary contracts**

All honorary appointments should be proposed by an established member of academic staff at the University.

*For non-professorial standard university honorary**appointments* (See Fig 2)

1. The person proposing the honorary appointment (the proposer) completes the Honorary Appointment Proposal Form (PD14) and sends it to their Vice Dean for Education or Research (or their nominee) for approval.
2. The form is sent by the Vice Dean’s office to the PVC for approval.
3. Once approved, the Dean’s office scans and emails the PD14 and CV to the Employee Services Team who issue a honorary appointment letter and encloses the deals with the IT
4. The Employee Services Team files the PD14 and CV electronically as well as adding the person to the Honorary Appointments database.

*For professorial standard university honorary**appointments* (See Fig 3)

Stages 1 – 3 inclusive are followed as above.

1. The Director of HR’s office sends the PD14 to the College’s Deputy Vice Chancellor for approval (DVC). Once approved the PD14 and CV are returned to the Director of HR’s office who then requests it to be added to the next VCEG meeting agenda for approval.
2. Once this approval the Employee Services Team issues the honorary appointment letter and arranges the IT.
3. The Employee Services Team file the PD14 and CV electronically as well as adding the person to the Honorary Appointments database.





**2.2.2**

**Visas for non-EU standard university honoraries**

Non-EU honorary appointees from overseas may require a visa for their visit. It is essential that the University does not break UK Border Agency visa rules and further information can be found on the intranet at <http://www.exeter.ac.uk/staff/employment/honorary/visarules/> and the UKBA website at <http://www.ukba.homeoffice.gov.uk/>

**2.2.3 Titles and criteria for standard university honorary appointments**

In addition to the Associate status, the University of Exeter offers standard honorary titles.

|  |
| --- |
| Honorary titles can be found on the following link:  <http://www.exeter.ac.uk/staff/employment/honorary/> |
|  |
|  |

The Standard University Honorary process currently focuses on collaboration for research and as such a need was identified to reflect collaboration for Education and Scholarship in addition to research. Under the Peninsula College for Medicine and Dentistry (PCMD) local arrangements were made for titles to recognise collaboration for roles within Education and Scholarship. The University of Exeter agreed a temporary extension for the use of these titles while amendment to the existing honorary system was considered.

Honoraries from PCMD were given University of Exeter Medical School honorary appointments for one year in the first instance from March 2013 and consultation on the proposed amended titles and criteria took place in the Autumn of 2013. Titles held were reviewed and were re-issued with the most appropriate title for them which reflected the role they had with the University.

**2.2.4 Management reporting**

The Employee Services Team maintain a database of individuals who hold honorary appointments with the University of Exeter. This information includes: their name, the college which they are linked with, contact address, honorary title, and the term of their honorary appointment. The approved PD14 and the honorary’s CV are filed electronically in a secure folder on the HR shared drive.

The Employee Services Team produces a monthly report of all honoraries in each College is sent to the College Registrar and the Dean’s office.

**2.2.5 When an honorary appointment is extended**

Appointments are normally arranged for a maximum of three years at a time but can be extended at the request of the College. If the College wishes to extend the period of appointment for a honorary then process is followed as in Fig 2 and the only difference is that the proposer ticks *‘Yes’ i*n answer to ‘*Is this a renewal’* on the form.

**2.2.6 When an honorary becomes an employee**

The Honorary report explained in 2.2.5 should be reviewed for any honoraries to have become University of Exeter employees. If any honorary is appointed to a substantive role within the University of Exeter, the Director of HR’s office should be informed so that they can be removed from the database as their honorary appointment will cease. The College’s HR Business Partner (HRBP) will issue a letter to confirm the honorary appointment has ceased at the point of employment.

**Template 1**

Dear

**Confirmation of Appointment and End of Honorary post**

I wish to confirm that on your appointment to the post of post title in the Medical School/service, your honorary appointment as honorary post title will cease. University policy does not make it possible to hold both a substantive contract in addition to an honorary title.

OPTION We are required to inform the UK Border Agency of your change in post and will apply to obtain a Certificate of Sponsorship/Work Permit appropriate for your new role.

You will receive a UniCard application form, along with your new contract, which you should complete and return as instructed on the form. The card will give you full access to University facilities.

Yours sincerely

Name

# **HR Business Partner/Manager/Advisor**

Cc: See cc list

**2.2.7 Academic Clinical Fellows**

Academic Clinical Fellows (ACFs) are doctors in training and have their substantive contracts with a healthcare employer. They are funded to spend 25% of their time over a period of up to three or four years in a formal programme of research preparation, research training and research activity, whilst continuing with their clinical training and achieving the required clinical competencies. They combine research training with their clinical training so that they can prepare themselves to compete for a Research Training Fellowship which may lead to a PhD. They are appointed by the Deanery (the NHS body which is responsible for medical education) and have a Standard University Honorary appointment for the duration of their research training.

**2.2.8 Process for appointment of Academic Clinical Fellows** Please see Fig 4.

1 January to March - The Deanery appoints the Academic Clinical Fellows (ACFs)

2 April – University of Exeter Medical School (UEMS) HR contacts the Deanery to request a copy of the NIHR Integrated Academic Training Monitoring Form which is produced by the Deanery and shows which ACFs have been appointed into which specialty (sometimes this isn’t available until late Spring/ early Summer).

4 UEMS HR forwards Monitoring form to the ACF academic leads (Professor Tamsin Ford) and asks them for names of the research supervisor for each ACF

5 UEMS HR emails a PD14 to each research supervisor and asks them to complete it and send the PD14 and a copy of the ACF’s CV to the Vice Dean for Research for approval.

6 The process for issuing Standard University Honorary appointments (see Fig 2) is followed. The PD14 and CV is be sent to the Employee Services Team (Jen Thomas) which she shares with the Admin Team (Luisa D’Alesio) for the new appointees to be added to Trent as Academic Clinical Fellow (see section 2.2.7)

7 The Employee Services Team (Jen Thomas) adds the person to the honorary database and issues the honorary appointment letter.

8 The PD14 and CV are stored electronically.

**2.2.9 Information needed for Trent (for Academic Clinical Fellows)**

Academic Clinical Fellows are added to Trent in the Clinical Honorary category as Academic Clinical Fellows which allows them access to the University’s training opportunities and integrates them into the University’s research community as participants of the Research Development Programme. They are included in the following reports: Starters, Leavers, Staff Long List, Fixed Term and Mandatory Training. In order for these staff to have the correct IT access and appear in specific reports they must be recorded on Trent with a job title matching exactly 'Academic Clinical Fellow' and the category recorded as 'Clinical Honorary'

|  |  |
| --- | --- |
| **new position** |  |
| **position details** | (0 in probation & contract signed and returned, fixed term reason training) |
| **hours & basis** | (Category = Clinical Honorary) |
| **hesa details** | Academic Employment Func=Research, tick exclude from Hesa |
| **UDFs** | Induction Facilitator only |
| **profile** - | checks (Delete any checks that show) |
| **position** - | attach person |
| **occupancy details** | (fixed term reason: Training) |
| **address** |  |

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**2.3 Clinical honoraries (Universities and Colleges Employers Association)**

This category is applicable for employees of a healthcare provider who carry out a significant management role within the University (normally related to education and less commonly to research) for the Medical School, which is defined as a workload activity of =/+ 0.20 FTE (2 PAs). A template contract produced by the Universities and Colleges Employers Association (UCEA) and based on the recommendations of the Follett report is issued to these individuals for their honorary role. This has been adopted by the University of Exeter.

The Follett reports states that the key principle of joint working to integrate separate responsibilities should be applied to the management of senior NHS and university staff with academic and clinical duties. The Clinical Honorary should be regarded as an individual with one employment and two employers, not with two part-time contracts of employment. UCEA therefore recommends that employment status is granted by HEIs to consultants employed by healthcare who undertake a significant amount of teaching and/or research within their Higher Education Institution (HEI) as a matter of best practice, in order to ensure appropriate accountability in terms of both students and research responsibilities. UCEA recommends that HEIs comply with the Follett recommendations regarding (a) the principle of joint working to integrate NHS and academic responsibilities, (b) joint appointment, including the preparation of joint job descriptions, (c) joint job planning between the relevant NHS party and the institution and (d) a jointly agreed annual appraisal and performance review process. Honorary employees of HEIs will have rights in relation to that employment independent of any NHS contract. General employment law guidance in relation to entering into and terminating employment must also be considered carefully in light of the HEI’s governance structure (UCEA Framework).

This arrangement allows the University of Exeter Medical School to embed clinical honoraries into its management structure. These individuals will be included on Trent which means that management information will reflect the role they do and their line management duties. This system will allow them to have access to training resources, IT access and to be included in the same processes as other line managers e.g. probation, performance management etc. These roles have job descriptions and follow normal recruitment processes jointly with the co-appointing healthcare provider. The Occupational Health provision for this category is carried out by the healthcare provider. The University checks that this has been done and is in place when the staff member is first issued a contract (see template 5).

**2.3.1 Process for issuing Clinical Honorary (UCEA) contracts**

A new or replacement role is identified for the University of Exeter Medical School and the HR Business Partner is notified immediately to set up the new/replacement post using the online eSR1 recruitment system, liaising with the Recruitment Manager. Please see Appendix 1 which is the guidance for recruitment produced by UCEA.

Please see Fig 5 for the current local appointment process of clinical honorary roles.

1. The Recruiting Manager creates an advert and role description using Templates 2 and 3 which are based on the generic templates in the Template Library found at <http://www.exeter.ac.uk/staff/employment/recruit/recruitment/templatelibrary/>. Alternatively, a role description may already have been created and stored in the shared Human Resources drive which could be used for the vacancy.
2. HR set up the new role in Trent which generates a P (post) number unique to that post and sets up the eSR1
3. The Recruiting Manager accesses eSR1 and enters the proposed vacancy details.
4. The post is considered electronically by the appropriate University of Exeter Medical School management.
5. The Recruiting Manager and HR agree the interview panel.
6. Applications are reviewed by the shortlisting panel.
7. Once appointment is made the appointment details form is completed and sent to the Employee Services Team who follow the process for appointment as shown in Fig 5.
8. The Employee Services Team add the new person to Trent as a Clinical Honorary. The information required for Trent is shown in section 2.3.3.
9. The Employee Services Team send a letter to the appointee’s substantive healthcare employer (as in Template 5) to confirm the appointment in order to confirm the individual has:

* the right to work within the United Kingdom to comply with the Immigration, Asylum and Nationality Act
* agreement with their line manager for taking up the role
* registration with the General Medical Council and a licence to practice
* current Criminal Records Bureau/Disclosure and Barring   
  Service check

and the confirmation from the healthcare employer is kept within the personnel file once received.

1. The Employee Services Team issue a Clinical Honorary (UCEA) contract to the appointee and sends a copy to the healthcare employer for their personnel file.

**2.3.2 Joint appraisals**

Joint appraisal requires two appraisers: one from the University of Exeter and one from the healthcare employer, on a single occasion. A joint approach to appraisal allows meaningful discussion to take place regarding all the aspects of the role. The appraisers and the appraisee will formally agree the record of the appraisal, including the record of issues raised, appraisal discussion and outcomes, the academic plan proposed for the following year. Copies of the appraisal record are kept in each of the appraisee’s personnel files at the University and with their healthcare employer.

Bearing in mind the recommendation of the Follett Report that appraisal in undertaken on a joint basis by both employers, it is recommended that HEIs and their partner healthcare bodies discuss ways to rationalise the timetable for the appraisal with the aim of achieving a unified timetable which is not burdensome for either appraisers or appraisees. Please refer to the UCEA’s guide: *Joint Appraisal Guidance (October 2012).*

* + 1. **Information for Trent for Clinical Honorary (UCEA) Roles**

Clinical Honorary (UCEA) appointees have access to mandatory training and the University’s internal training options. They are included in the following reports: Training including mandatory; Staff list; Starters/leavers; and Fixed Term. To enable this the following information is required for Trent.

|  |
| --- |
| **New personal details**: name\*, |
| **Key date details**: DoB, start date |
| **Sensitive information**: marital status, religion, ethnic origin, disability, etc |
| **Address** |
| **Contacts** |
| **Hesa personal details** |
| **Emergency contact details** |
| **Position**\*: (enter new position if not already on Trent) organisation, unit |
| **Position details**: job title, location, probation, reporting manager, position status, end date |
| **Payscale values/salary details** (not needed for Clinical Honorary (UCEA) honorary contracts) |
| **Hours, weeks and staff category**/hours and basis/: including category\*, type\* |
| **Pattern details**: select ‘flexible' for Clinical Honorary (UCEA) posts |
| **Hesa details (position)**: select ‘Exclude from Hesa’ but must enter Academic Employment Function |
| **UDF details** (User defined forms): Induction facilitator\*, Check details\*\* |
| Attach person to position |
| **Occupancy details**: expected occupancy end date and reason |
| **Probationary periods** (not needed for Clinical Honorary (UCEA) roles) |
| **Correspondence address**\* |
| **Person/UDFs/clinical staff details** the employing NHS Trust/GP Practice entered in ‘Honorary Trust/Substantive employer’  *\* Needed for IT access*  *\*\* Checks are carried out by the substantive NHS Trust/GP Practice.who confirm they are current.* |

* + 1. **Information needed for approval through ESR1 for Clinical Honorary (UCEA) roles**

The following information is required for the e-SR1:-

|  |
| --- |
| Role title |
| Recruiting Manager |
| Job Family |
| Medical School |
| Location (full work address) |
| Accountable to (name of academic line manager) |
| Name of NHS Trust jointly appointing |
| Disclosure and Barring Service check required? |
| Start date/end date |
| Contract type: Open ended linked to funding; Fixed term |
| Full time / Part Time |
| Term Time Only |
| State funding body  (see list of funding body codes in section I) |
| Is post within Business Plan? Cognos Line Number: |
| Job description Person specification  Advertisement |
| Where advert should be placed: |
| How many weeks is the post to be advertised for? |
| Chair of panel: |
| Panel members: |
| HR Admin Contact: |
| Cost code for advertisement: |
| No of PAs |



**Template 2**



**Advert template for clinical honorary roles**

**University of Exeter Medical School**

**Insert Post Title** (Ref. No - to be completed by HR**)**

**Insert how you would like salary details to appear**

This new full-time/part-time post is available from date/immediately on a permanent/fixed term basis until date.

Insert advert text here - suggest a short paragraph on the post, and a short paragraph about the skills, experience you are looking for

For further information, please contact Contact name, email email address@ex.ac.uk, or telephone (01392) 72XXXX.

Candidates are advised to discuss the role with their clinical director or practice before applying to gain approval to carry out the role.

**Template 3**

**Description template for clinical honorary roles**

**Template 4**





**Template 5**

**Template 4**

**2.4 Clinical Academics**

This category is the reverse of the Clinical Honorary (UCEA) appointment and is for a University employee who also delivers agreed sessions and/or who is engaged in research collaboration with a healthcare provider as part of their work plan. Clinical academics hold employee contracts with the University and honorary appointments with the healthcare provider. Please see separate recruitment guidance in this regard.

Clinical academics participate in CPD, clinical audit, joint appraisal and the job plan review as part of their honorary role with the healthcare provider. The University of Exeter will keep a copy of their healthcare honorary contract in their personnel file and both organisations will be involved in their appraisals. These posts have a job description, are advertised and follow normal recruitment procedures along with the co-appointing healthcare employer Occupational Health provision is provided, including medical checks and necessary health screening. The healthcare provider will ask for confirmation of this prior to issuing a honorary contract or a research passport.

Any academic who also has this type of honorary contract with a healthcare provider must send a copy of the honorary contract to the Employee Services team to be added to their personnel file.

**2.4.1 Process for gaining confirmation of healthcare honorary appointment**

Please see Appendix 1which is the guidance for recruitment produced by UCEA Recruitment to these posts uses the normal University of Exeter recruitment systems. After interview and selection the current local arrangement is as follows:

1 The Employee Services Team will write to the healthcare provider using Template 8 to:

* inform the Trust that the individual has the following current checks
  + the right to work in the UK
  + GMC registration and a license to practice
  + Disclosure and Barring Service
  + Medical clearance1
* request a copy of the honorary contract for the appointee’s University of Exeter personnel file
* confirm the number of PAs for the honorary role (if appropriate)
* request a copy of the person’s clinical job plan (if appropriate)

2 At appointment the Employee Services Team team issues the employment contract and the healthcare provider issues the honorary contract of which a copy is sent to the Employee Services Team.

1This can only be done once Occupational Health has completed an expanded medical health check, which is triggered for staff at the time of appointment.

**Template 6**

**Confirmation of Clinical Academic appointment**

Appendix 1

*This document was first issued by UCEA with Update 04/55 as part of the Follett Report implementation process. This is a revised version which takes account of the NHS (Appointment of Consultants) Amendment Regulations 2004.*

JOINT NHS AND UNIVERSITY PROCEDURES FOR THE APPOINTMENT

OF SENIOR STAFF WITH ACADEMIC AND CLINICAL DUTIES

**Introduction**

1. The recommendations of the Follett Report of September 2001 were designed to modernise accountability and management arrangements between NHS Trusts and universities in relation to senior medical and dental staff in England who have both clinical and academic duties. Most of the recommendations require action at local level but the report also recommended structured collective action at national level.
2. In August 2002, the Department of Health and UCEA issued national guidance and model documents regarding the joint appraisal of consultant clinical academic staff.
3. In December 2003, UCEA issued detailed advice on how the Follett recommendations regarding joint working and interdependency of contracts might be implemented by universities (in particular pre-92 universities) in collaboration with their NHS partners.
4. The following guidance relates to joint arrangements between NHS Trusts and universities for the recruitment and selection of senior staff with academic and clinical duties. It is designed to address the following recommendations of the Follett Report:
   1. *The key principle for NHS and university organisations involved in medical education and research should be ‘joint working to integrate separate responsibilities’ (paragraph 13)*
   2. *Universities and NHS bodies should formally make all senior NHS and university staff with academic and clinical duties fully aware to whom they are accountable for the separate facets of their job (paragraphs 18-23)*
   3. *The job descriptions for new and replacement senior NHS and university staff posts with academic and clinical duties should be jointly prepared and formally agreed by both partners prior to advertisement (paragraphs 26-30)*
   4. *Appointments to senior NHS and university staff posts with academic and clinical duties should be jointly made under procedures agreed by the partners (paragraphs 31-38)*
   5. *Substantive and honorary contracts for senior NHS and university staff posts with academic and clinical duties should be explicit about separate lines of responsibility, reporting arrangements and staff management procedures, and should be consistent, cross-referred and issued as a single package (paragraphs 39-45)*
   6. *The substantive university contract and the honorary NHS contract for clinical academics should be interdependent (paragraph 41)*
   7. *The recommendations in this report should apply equally to Dental Schools with appropriate modifications to take account of their special features (paragraphs 75-77)*
5. This guidance relates to:

appointment by a university to a new or replacement senior clinical academic post with an honorary consultant contract with an NHS body (or bodies) and

appointment by an NHS Trust to a new or replacement consultant post with a teaching and/or research commitment. Such appointments are governed by the NHS (Appointment of Consultants) Regulations 1996 as amended.

It does not apply to NHS consultant posts which carry no teaching or research commitment.

1. It is recognised that each university has its own regulations and procedures relating to the appointment of staff. This guidance is intended as a broad framework for local interpretation taking into account the Follett recommendations and the statutory requirements for NHS appointments.
2. The NHS (Appointment of Consultants) Regulations list a number of exemptions from the requirement for posts to be advertised and for selection to be made by an Advisory Appointments Committee. These include where the person appointed is to receive no remuneration from a Trust and is a member of the academic staff of a university. The appointment procedures for senior clinical academic staff are therefore exempt from the statutory requirements for consultants appointed directly to the NHS. It is nevertheless recommended that the process laid down in statute is generally applied to the appointment of clinical academics and this approach is reflected in the following paragraphs. However, a different process could be agreed at local level between universities and their NHS partners.

# Assessment of Need and Resource Implications

1. In order to fulfil the key principle stated above (see 4a), the Follett Report recommended that *University and NHS partnerships responsible for medical education and research should establish joint strategic planning bodies, with joint subsidiary bodies responsible for human resource policies and procedures for staff with academic and clinical duties.* As in the Follett Report, it is recognised that local NHS/university circumstances vary and thus there is no single model that applies. However, it is assumed that these joint bodies are in place. Where a university is in partnership with more than one NHS Trust, there will either be one joint strategic planning body to cover all partnerships or several to cover each single Trust or sets of Trusts. Similarly, local arrangements for the joint subsidiary bodies for human resources will vary. Thus, in relation to an individual university, the terms **joint strategic planning body** and **joint human resource body** in the text that follows refer to each of the bodies which exist locally, whether there be one or more.
2. Assessment of the need for a new or replacement post and the funding source to support it will take place in the context of jointly agreed strategic plans and human resource implications. Given this context, day to day operational arrangements, as agreed by the joint human resource body, should ensure that the university and NHS Trust have each designated a named individual (the **responsible officer**)who is responsible prior to recruitment for ensuring:

* that the consultation and approval process required internally by each organisation has been undertaken; and
* that there is joint agreement regarding the need and resources required for the post.

# Job Description

1. The job description for the post should include the following elements:
   * + Organisational charts
     + Accountability and reporting lines
     + Integrated job plan, subject to paragraph 11 below
     + Appraisal arrangements
     + Clinical governance arrangements
     + Management responsibilities
     + Administrative responsibilities
     + Resources – staff, space, equipment
2. For certain appointments, for instance the appointment of a clinically qualified person with senior management responsibilities for the university, it may need to be agreed that the precise details of the integrated job plan will be confirmed once the specialty of the person appointed is known.
3. The responsible officers of the university and all NHS Trusts involved in the appointment should liaise to ensure that prior to advertisement all parties have had the opportunity to comment on the job description, including the relevant Royal College. The job description should be sent to the Regional Adviser for the particular specialty with a request for the Royal College to nominate a member of the selection committee, the possible composition of which is described below.

# Other Information for Applicants

1. The university and NHS Trust(s) involved should formally agree other information for applicants, including a person specification and details of the interview date, using procedures approved locally by the joint strategic planning body.
2. In drawing up the person specification, it should be noted that it is a legal requirement for all doctors to be on the GMC’s specialist register before being able to take up a consultant appointment. However, trainees may explore the possibility of post-CCST careers as soon as it is apparent that a CCST will be awarded in the near future. Specialist registrars may therefore apply for a consultant appointment provided the expected date of award of their CCST (or recognised equivalent, if outside the UK) falls no more that 6 months after the date of interview for the consultant post.
3. Arrangements should be made to seek the informed consent of applicants to the necessary disclosure of personal data and sensitive personal data between relevant organisations during the recruitment and selection process.

**Interview Date**

1. As soon as the interview date is set, all prospective members of the selection committee should be contacted to determine their availability. Where prospective members are unavailable, replacements should be agreed and contacted.

# Advertisement

1. The substantive employer should, in consultation with the body awarding the honorary contract, place a minimum of two advertisements. These may be in nationally distributed journals or on nationally available Internet sites commonly used for similar advertisements relating to the profession concerned. At least one of the advertisements should appear in a printed journal.
2. Where there is agreement that compliance with the provisions in the preceding paragraph is not reasonably practicable, the substantive employer should arrange for advertisements to appear in such other publications as are jointly considered appropriate.
3. The advertisement should as a minimum set out the general duties of the post, the closing date for the receipt of applications and the interview date.
4. Where the advertisement is published in respect of a whole-time post, it should include a statement to the effect that applicants for appointment to a part-time post will be considered.

# Selection Committee Membership and Proceedings

1. For senior posts with academic and clinical duties, it is common practice for there to be different rules, albeit with some common elements, governing the membership and proceedings of selection committees according to whether the substantive employer is to be the university or the NHS.

22. The NHS (Appointment of Consultants) Regulations require that membership of selection committees (known as Advisory Appointments Committees) for an NHS consultant should include, as core members:

* + - A lay member
    - A professional member who practices in the relevant specialty appointed after consultation with the relevant Royal College
    - The chief officer of the Trust
    - The medical or dental director of the Trust (or a person who acts in a similar capacity at the Trust) or, where the appointment is to a consultant post in public health medicine, the Director of Public Health in the Trust in which the duties of the post will mainly be carried out
    - A consultant employed by the Trust in the relevant specialty or, where no such person is available, a consultant employed by the Trust in some other specialty
    - In the case of appointments to units which have either teaching or research commitments or both, a professional member nominated after consultation with the relevant university

23. Each university has local regulations that govern the constitution of selection committees for academics. These too will need to be taken into account when determining the composition of selection committees for senior posts with academic and clinical duties,

24. The Follett Report recognised that differing university rules, the possibility of more than one NHS body being involved in some appointments, and the possible involvement of external funding bodies created an inherent difficulty in proposing a model composition for selection committees. If all interests were to be covered, such committees would run the risk of being unduly large.

25. Despite the Follett Report’s reservations regarding a model composition, it is suggested that local rules governing the composition of selection committees should include the following elements:

1. representatives as set out in paragraph 22 above

b. two university representatives

c. optional additional members as considered appropriate, for instance to provide external academic advice or to represent external funding bodies or internal interests

It should be noted that in the case of Trust appointments only, a lay member is required to chair the committee. Additionally, and where more than one Trust is involved, the chief officer and medical or dental director are likely to be employed by the lead Trust unless an alternative has been agreed by the Trusts.

A selection committee should be so constituted that it has the authority to make a decision on behalf of both the university and the Trust(s). Thus *inter alia* it must have a majority of members who (i) in the case of NHS appointments, are employed by the Trust(s) and (ii) in the case of university appointments, represent the university. Within the above requirements, the size of the selection committee should be kept as small as possible.

26. The selection committee should not transact any business in the absence of any of the core members specified in paragraph 22 unless there is present a person who has been nominated by the core member concerned to act as deputy.

27. The substantive employer should appoint a person to act as clerk to the committee.

28. In the event of an equality of votes, the Chair should not have any second or casting vote and no candidate should be considered suitable for appointment unless a majority of the members of the committee so agrees.

**Shortlisting**

29. The selection committee should consider all applications received by the due date stated in the advertisement (and any application received after that date but before the committee meets if the parties are satisfied that there is a reasonable explanation for its late receipt) and agree a shortlist of candidates to be interviewed.

# Interview

30. The procedure to be adopted by the selection committee should be as locally agreed by the joint human resource body subject only to the requirement that any appointee must have been interviewed by the committee.

**Offer of Appointment**

31. The substantive employer should issue the offer of appointment. Any consequent discussion with the preferred candidate prior to acceptance should be undertaken according to arrangements agreed by the joint human resource body in order to ensure the involvement of all interested parties.

# References

32. In order to be consistent with the Department of Health’s guidance on the implementation of the NHS (Appointment of Consultant) Regulations, references should be taken up at the time of the conditional offer of employment. Institutions may prefer, however, that references be available prior to any offer of appointment.

**Contract of Employment**

33. The substantive contract and the honorary contract should be issued as a single package from a single source. Although local arrangements to facilitate this are likely to be agreed by the joint human resource body and may vary, it is envisaged that the substantive employer will be responsible for the issue of the contract package.

34. In accordance with Follett principles, each contract should:

* 1. specify the separate lines of responsibility and reporting arrangements, and the review, appraisal and disciplinary procedures that will apply;
  2. refer to the agreed job description, including the integrated job plan, and indicate the mechanism by which this can vary over time;
  3. refer to other procedures that apply, such as those for staff grievances and public disclosure of information;
  4. seek informed consent to the necessary disclosure of personal data and sensitive personal data between the university and NHS Trust(s).

35. The substantive contract should contain a clear statement as to any appropriate registration, status or honorary contract that is considered essential to the proper performance of the substantive contract duties. It should require the employee to advise the substantive employer of any change in the registration, status or honorary contract and any disciplinary, performance or ill-health action taken by the honorary employer. It should also clearly state that termination of the honorary contract will lead to review, and possible termination, of the substantive contract using the approved procedures of the substantive employer.

36. The honorary contract should contain a clear statement to the effect that withdrawal of the substantive contract will lead to a review, and possible termination, of the honorary contract using the approved procedures of the honorary employer.

# Joint Procedures

37. In recognition of the obligations of both the university and NHS Trust, the joint human resource body should agree a local protocol for co-operation in relation to contractual matters. The protocol should cover, as a minimum, issues of appraisal, review, discipline and dismissal as well as arrangements for the sharing of information relating to employee duties, conduct, performance and health. Thus, the protocol should:

**Specify the procedures of both the university and Trust in relation to appraisal, review, discipline, dismissal, capability and performance and an agreement to liaise with the other before activating any such procedure.**

**Specify the mechanisms for deciding which matters would normally be dealt with (i) under the Trust’s procedures, (ii) under the university’s procedures and (iii) under both. In the case of (iii), mechanisms for determining which organisation’s procedures will take priority should be specified.**

**Specify the mechanisms for the exchange of information regarding the progress and outcome of action under the procedures.**

**Record agreement for the substantive and honorary contracts to contain appropriate clauses which enable joint working between the organisations and which address data protection issues.**

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