



Lead Employer Service

Case Management Policy and Process guidance

East Midlands

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Roles and Responsibilities: Case Management

Jennifer Tully, HR Service Manager

 jennifer.tully@sthk.nhs.uk

 0151 290 4425

- Providing HR advice and guidance about key HR policies including attendance management, conduct, grievance and dignity at work.
- Working alongside the HR Advisors to offer oversight of the management of long term sickness cases in line with LE and local policy.
- Link in with HEE HOS, Associate Deans, Training Programme Directors and Specialty School Managers regarding the on-going management and support of trainees.
- Regular attendance at stakeholder events such as School Boards, Educators & Practice Managers events.

HR Advisory Team


 Leademployer.casemanagement@sthk.nhs.uk

 0151 290 4677

- Gemma Thomas (Trainee Surnames A- C)
- Laura Driscoll (Trainee Surnames D- I)
- Chelsea Houghton (Trainee Surnames J-M)
- Ruth McCann (Trainee Surnames N- R)
- Sasha Rogers (Trainee Surnames S-Z)
- Providing HR advice and guidance on key HR policies including attendance management.
- Processing occupational health referrals for trainees who require additional support.
- Supporting stakeholder engagement by attending inductions.

Absence Support Team

 leademployer.casemanagement@sthk.nhs.uk

 0151 290 4677

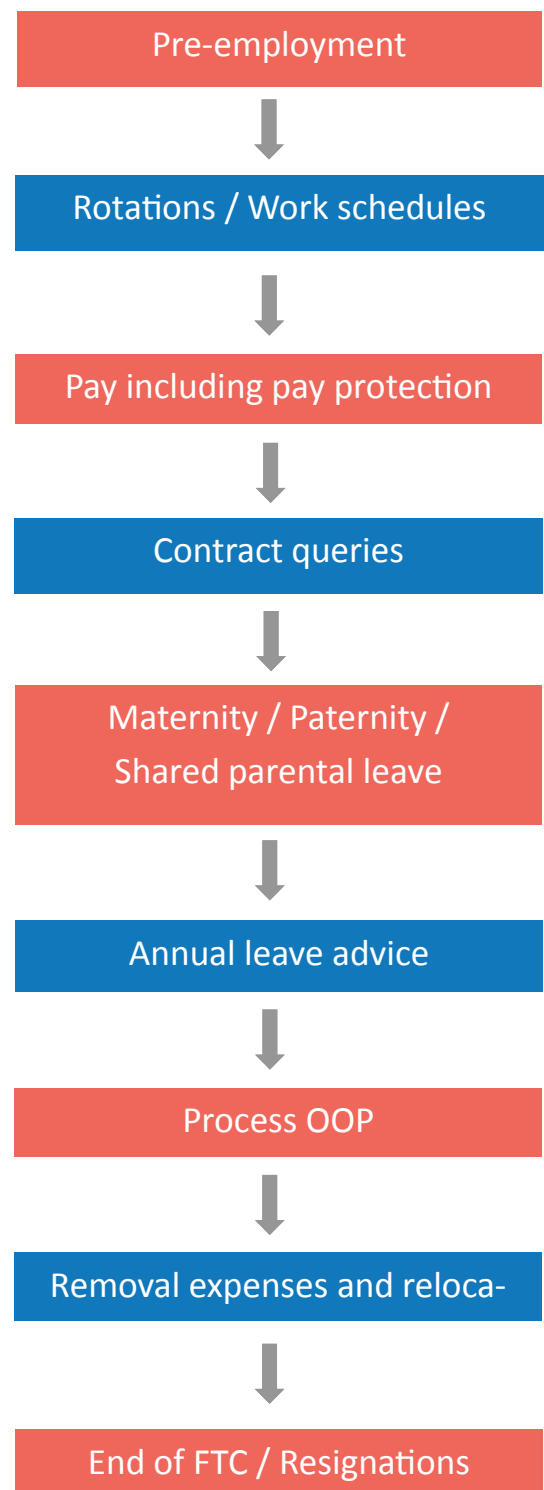
- Providing support to host organisations, HEE & trainees regarding the Lead Employer attendance management policy.
- Providing support to host organisations (including GP practices & Hospices) regarding input of sickness absence to ESR.
- Running weekly sickness reports to identify open ended absences, trainees absent due to stress and MSK, and absences where RTW interviews have not been completed. Such matters are escalated to the HR Advisor / HR Manager as required.
- Advising trainees on when they are to enter into half/no pay whilst on sick leave.
- Requesting updates from trainees in relation to return to work interviews, open ended absence and fit notes.

Roles and Responsibilities: Employment Services

Employment Services Team

✉ Leademployer.eastmids@sthk.nhs.uk

☎ 0151 290 4756



Roles and Responsibilities: Workforce Systems Support

Our dedicated Workforce Systems Support team maintain our E-expenses system and Electronic Staff Record (ESR). There are several different types of expenses that can be claimed by Lead Employer trainees.

Business Mileage

This is processed through the e-Expenses system and should be used for claiming business mileage or expenses that are incurred during service provision e.g. if a trainee used their personal car to drive to a patient's house for a home visit.

Excess Travel & Relocation Expenses

Please note that the Lead Employer administers this process on behalf of Health Education England and the policy can be accessed via our Shared Services website.

Study Leave Expenses

The Lead Employer also administers this process on behalf of Health Education England and ensure any payments are processed at the end of each month.



Roles and Responsibilities: The Host Organisation

The host organisation will:

- provide day to day management and supervision
- provide the training environment and support
- provide local inductions and mandatory training
- provide awareness of local policies and procedures
- record sickness and absences via ESR
- issue work schedules



For Payroll queries

e.g. payslips / pay queries, P45/P60s, expenses etc.

✉ leademployerpayroll@sthk.nhs.uk

☎ 0151 290 4658

Annual Leave



Each trainee has an entitlement to annual leave and public holidays. These entitlements will vary depending on certain factors which are outlined below.

Trainees on the 2002 contract

Trainees on the minimum, first and second incremental points are entitled to 5 weeks (25 days) annual leave per year increasing to 6 weeks (30 days) from the third incremental point and higher. In addition, each trainee has 2 statutory days therefore annual leave entitlement will be either 27 days or 32 days (pro rata for part time employees).

Trainees on the 2016 contract

On first appointment, trainees will be entitled to 27 days annual leave per year. After 5 years service, trainees will be entitled to 32 days annual leave.



When a trainee requests one week of annual leave, should this be classed as four days due to teaching on a Wednesday or Thursday?

No. You should always advise in the first instance that this should be recorded as five days as host organisations have no way to monitor attendance at mandatory teaching.

Annual Leave year



The leave year for trainees will run from the 1st Wednesday in August (following the commencement of August changeover).

The leave year will end on the Tuesday immediately prior to the August changeover.

Approval of leave

Trainees should apply for leave to the relevant personnel at each host organisation to which they rotate. Leave will be approved by each host organisation who will ensure that ESR is updated and that accurate records are provided to the Lead Employer.

A trainee shall normally provide a minimum six weeks' notice of annual leave to be approved in accordance with local policies and procedures.

Annual Leave

Annual Leave Carry Over



Please note that all trainees should make every effort to take their annual leave pro-rata, spreading this equally across their placements i.e. if a trainee has 27 days per year and has two six month placements then 13.5 days leave should be taken in each placement.

Only in exceptional circumstances should trainees apply to carry over annual leave in which case please note that:

Trainees must be able to demonstrate the reason for the request i.e. they are not permitted to take annual leave in their current placement. This should be raised locally as a concern at an early stage and before the end of the placement, should this be the case. Confirmation from the host organisation will be required to support the application for carry over of leave.



Trainees must also seek full agreement from the current and receiving placement that they may carry over annual leave to establish whether appropriate arrangements can be put in place to accommodate the requests without adversely impacting the service or other trainees.

Annual Leave for LTFT Trainees

Annual Leave for less than full time trainees should be calculated on a pro-rata basis. For example, a less than full time trainee working 60% of a full time rota should receive 60% of the full time entitlement of annual leave, plus 60% of the entitlement to bank holidays. Bank holiday hours should only be deducted if this is the trainee's normal working day.

Yearly entitlement ÷ 12 (months)

X number of months

Number of Bank Holidays ÷ 100

X percentage of hours

60% 24 HOURS 27 = 16

32 = 19

70% 28 HOURS 27 = 10

32 = 22

80% 32 HOURS 27 = 21.5

Prorata + Bank Holiday

32 = 25.5

Special Leave

Special Leave is exceptional leave that may be granted to an employee in certain circumstances. This includes the following;

- Jury service
- Dependents' leave
- Carer's leave
- Emergency Domestic Leave
- Parental Leave
- Bereavement leave
- Civic duties
- Public duties
- Armed Forces reserves

Paid leave may be granted ranging from a temporary adjustment to hours worked, up to a maximum of 24 hours paid leave. This will be calculated on a rolling 12 month basis and will be pro-rata for part-time staff.

Staff do not have an automatic entitlement 24 hours of paid special leave per year and all staff should be aware that requests can be declined.

Where the maximum entitlement to paid special leave has been exhausted, staff must use annual leave to cover such absences.



Time off for Medical appointments

Appointments for GP and dentist visits etc. are often presumed to be an entitlement by some staff, this is not the case. Staff should make appointments in their own time at the start or end of the working day to ensure minimum disruption to the host organisation and any time taken must then be worked.

For a hospital out-patient appointment, time off with pay would normally be agreed for the duration of the appointment. No travel time will be allowed. The staff member will need to have their appointment letter/card e.g. with hospital, date and time etc. and show this if requested to their manager.

Special Leave

Time off for Fertility treatment

It is recognised that treatment of infertility can be a distressing and lengthy process. A member of staff undergoing IVF treatment will be able to request up to 24 total hours per annum (pro rata for part time staff - see table below) and this may be taken in either full/half days or shorter hours to accommodate appointments/treatment. These hours are additional to other paid special leave.

Full time (40 hours per week)	24 hours	24
80%	18 hours	19
70%	15.5 hours	17
60%	13.5 hours	14.5
50%	11 hours	12



Time off for religious / cultural observance

Employees may request time off or a temporary change to their working hours for a religious or cultural occasion.

Where practical, these requests should be granted and must be taken as either annual or unpaid leave.

Sickness

Step 1 Trainee must ensure they inform their supervisor before they are due to start

Step 2 The trainee should explain the reasons for their absence, with the expected date of return to work.

Step 3 Agree next communication: Before the call is ended the trainee must confirm when they will next contact their host with an update regarding their absence.

Step 4 Should the trainee submit a medical certificate, please ensure a copy is forwarded onto Lead Employer to ensure so we can update our records

Step 5 Upon return to work, an interview must be conducted and a copy of the form should be sent to Lead Employer.

Step 6 If a trainee advises that they are to be off work longer than 28 days, this is classified as long term sickness. This absence would be managed by our HR Advisors who will provide regular updates to the host organisation. Trainees may need support i.e. undertaking fewer/ restricted duties / working at a slower pace etc. which would be discussed in conjunction with the host organisation and HEE.



Anything longer than 12 weeks and a contractual change is required.

‘Training clock’ - the difference between returning to work and returning to training.

For further guidance, please contact leademployer.casemanagement@sthk.nhs.uk

Sickness

Supporting Trainees who have underlying health conditions

Phased return to work (normally 4 – 6 weeks).
Amended hours e.g. varied start / finish times
Induction / period of shadowing / observing
LTFT
Adjustments to duties e.g. no on calls / ooh / night work
Access to Work input
Reasonable adjustments – can they be accommodated?

Attendance Management triggers

3 in a rolling 12 month period
A total of 10 days or more spanning 2 occasions
2 instances in a 13 week period

Stage – Trainee has no underlying health condition



Once notified that a trainee has hit a trigger point, the HR Advisor will make a judgement on whether or not the trainee should be managed under the stage process (no underlying medical condition) or level process (a significant underlying medical condition has been identified) prior to Lead Employer making contact with both trainee and host organisation.

The host reviewing the employees' absence will make a decision whether or not to take formal action i.e. progress the employee onto a stage or level, based on the information provided to them at the formal review meeting. HR support is provided prior to the host undertaking a stage or level meeting. It must be noted by the employee that once they have been placed on the Procedure they will be closely monitored by the Lead Employer for the next 12 months from the last stage / level undertaken.

Once complete, all relevant documents should be returned to leademployer.casemanagement@sthk.nhs.uk.

Conduct



Raising concerns

- Any concerns that arise should be shared promptly with the LE who have responsibility for the trainee.
- The Lead Employer disciplinary policy incorporates the MHPS (Maintaining High Professional Standards) framework, which ensures fairness and consistency for all trainees.
- Any formal investigation should be led by LE working collaboratively with the host organisation.
- The role of the Lead Employer Medical Director, Professor Andrew Rowland is key.
- Third parties (e.g. NHS Resolution, Police, Safeguarding, NPL, GMC) may need to be involved.
- Lead Employer will guide trainees through the key steps of this process.

Study Leave

For further guidance around study leave, trainees should contact their Training Programme Director.

