

Suspension, Exclusion or Transfer Policy

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Purpose of Agreement	The Suspension, Exclusion or Transfer policy outlines a fair and consistent approach to the consideration and
	management of suspension, exclusion or
	transfer.
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If you require this document in a different format such as large print or audio, please contact HR Consultancy.

Amendments Summary:

Amend Number	Issued	Page	Subject	Action Date
2	22/03/16		Policy re write	
3	31/01/17		Amending title of document sponsor and owner Amending reference HR Business Partner to HR team throughout document. Changing policy names "Equal Opportunities Policy" to "Equality, Diversity and Human Rights Policy", "Freedom to Speak Up policy" to "Freedom to speak Up (Whistleblowing) Policy". Inserting paragraph 5.11 Minor amendments to letters	31/01/17
4	24/07/19		Policy review and updates Additions to policy reflecting on NHSI guidance Wording added regarding employee's requirement to seek approval from their manager prior to undertaking any paid or unpaid work whilst suspended – in line with counter fraud guidance.	24/07/19

Review Log:

Version Number	Review date	Name of reviewer	Ratification process	Reason for amendments
1	March 2016	Sarah Martin	Joint Consultation Committee Workforce Group	New policy
2	March 2017	Vicky Butler	Staff side	HR structural changes
3	July 2019	Hannah West	Staff side	Policy review and update
1*	September 2020	Hannah West, HR Consultant Vicky Butler, HR Consultancy Manager	Policy Steering Group, Clinical Executive Group	*Policy re-write. Creation of supporting SOP, containing details on process.

SUMMARY OF POLICY

What it is:

The Suspension, Exclusion or Transfer Policy sets out the Trust's commitment to a fair and transparent approach in determining the Suspension, Exclusion or Transfer of our people when serious concerns are raised.

What it isn't:

Suspension, Exclusion or Transfer are not an automatic reaction to a serious workplace issue. The decision to suspend, exclude or transfer should only be reached in exceptional circumstances when all other options have been thoroughly considered first.

Where to go for further information:

- This policy should be read alongside the Suspension, Exclusion or Transfer Standard
 Operating Procedure (SOP), which outlines the process and steps to take including
 considerations in relation to the approach to be taken
- In addition, a toolkit is available containing a suite of documents to support.

Good practice:

We expect our people involved in the application of this policy to follow the Principles of Good Practice (outlined in Section 1.3) and the requirement for confidentiality (outlined in Section 1.4).

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SUSPENSION, EXCLUSION OR TRANSFER POLICY

1.0 INTRODUCTION

1.1 PURPOSE

At Solent NHS Trust we believe that a positive and good working environment have a significant impact on wellbeing and engagement leading to better performance and reduced stress and absence. We want our people to be able to bring their whole self to work, one way in which we can support our people to do so is to create an open, honest environment where workplace issues are talked through, addressed and resolved at the earliest opportunity in a safe constructive way that provides lasting solutions for those involved.

At Solent NHS Trust we understand that there is very rarely intent to act in a way that could be perceived as misconduct and that the vast majority of people strive to do their best at work. As such, when something happens that wasn't as expected, we are committed to understanding people's actions and ensuring that our people are encouraged to improve where necessary. It is the Trust's intention to ensure a focus on learning and accountability rather than blame and formal action should be seen as a last resort.

The decision to suspend, exclude or transfer is made in exceptional circumstances only, when it is determined through a robust decision-making process that no other options are appropriate.

Any decision to suspend, exclude or transfer an individual will be fair and unbiased and not taken by one person alone. The wellbeing of our people involved or affected by this policy will be carefully considered.

This policy should be read in alongside the Improving and Managing Conduct Policy, Suspension, Exclusion or Transfer Standard Operating Procedure (SOP) and Investigation SOP.

1.2 SCOPE

The Suspension, Exclusion or Transfer Policy applies to matters of potential serious or gross misconduct (see <u>toolkit</u> for guidance). Specifically, the Suspension, Exclusion or Transfer Policy should be applied in scenarios where there is reasonably perceived to be a risk to patients, employees or the public and/or a risk to the progress of the investigation and/or where it is necessary to protect the employee. Additionally, if the employee is a Director, the Suspension, Exclusion or Transfer Policy would apply if there is a question as to whether they are a Fit and Proper person under Regulation 5 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 as amended.

A suspension or exclusion is when you remain employed but are asked not to attend your place of work or engage in any work at all (such as working from home) whereas a transfer is when you are required to work in an alternative job role and/or location.

Whilst the decision to suspend, exclude or transfer will be rare where suspension, exclusion or transfer are being considered the decision tree, which can be found in the toolkit should be applied to support consistent decision making and guidance.

It must be emphasised that any decision to suspend, exclude or transfer a person is not

suggesting any formal decisions and outcomes have been made. The decision to suspend, exclude or transfer should be a last resort and should be an appropriate response to the circumstances. The suspension, exclusion or transfer should be only for as short a period of time as possible in the circumstances and regularly reviewed.

The decision to suspend, exclude or transfer should be referred via HR Consultancy to the People Management Advisory Forum (PMAF) to ensure appropriate senior-level oversight in decision making.

Throughout the application of this policy and the supporting Suspension, Exclusion or Transfer Standard Operating Procedure, the health and wellbeing of all our people will always be thoroughly considered.

This policy applies to locum, permanent, and fixed term contract employees (including apprentices) who hold a contract of employment or engagement with the Trust and secondees (including students), in line with the Solent NHS Trust Equality, Diversity, Inclusion and Human Rights Policy. For matters relating to Medical and Dental employees, the Maintaining High Standards of Performance Policy should be referred to alongside this policy, and advice sought from HR Consultancy if required.

1.3 PRINCIPLES OF GOOD PRACTICE

The following principles should be applied to every suspension, exclusion or transfer:

- Ensure HEART values guide actions and behaviours throughout the application of this
 policy.
- Ensure the health and welfare of all involved is considered throughout the process.
- Any decision to suspend, exclude or transfer will be handled with compassion at the
 point of suspension and throughout the period of suspension, understanding and
 acknowledging the impact the decision may have on the individual
- Ensure decisions are supported by a consistent framework and that they are well informed, justified and appropriate for the circumstances (see decision trees in toolkit).
- Ensure identification of key members (stakeholders) involved/affected in the application of the policies and procedures, to ensure regular communication is maintained.
- All involved managers to ensure adequate time is allowed to support a timely and thorough process.
- Ensure timely, detailed, clear, sensitive and compassionate communication throughout.
- Ensure any perceived or identified conflict of interest is responded to.
- Be carried out without unreasonable delay. Further guidance on anticipated timescales is outlined within the Suspension, Exclusion or Transfer SOP.
- Be sensitive and respectful to all involved members.
- Seek to establish as many facts as possible, in order to ensure robust decision-making.
- Be part of a learning culture where appropriate feedback is given and utilised to make improvements.
- Have accurate notes captured, complying with the principles of General Data Protection Regulations (GDPR) and in accordance with the notes template and guidance in the toolkit.
- Ensure records are retained in accordance with the records management guidance document in the <u>toolkit</u>.

- Continually reviewing the Suspension, Exclusion or Transfer to ensure the approach remains relevant and appropriate and to regularly update the person who has been suspended, excluded or transferred.
- Provide a debriefing/closure for all involved whether or not a formal process is undertaken.
- On return to work following a suspension, exclusion or transfer all of our people affected will have support to reintegrate and work together as appropriate.
- Employees will be informed that they will receive full pay during any period of suspension or exclusion or will transfer under the terms and conditions of their current post. Refer to the Pay Protection SOP for further details.

1.4 CONFIDENTIALITY

All people involved in the application of this policy and the supporting procedures must ensure confidentiality throughout the process and thereafter. We want to ensure that all people involved feel able to openly engage and be able to assure them that the information shared remains confidential. As such, we take breaches of confidentiality very seriously.

2.0 SUPPORT AVAILABLE

It is recognised that for of our people involved in a suspension, exclusion or transfer, the processes may be unusual or unfamiliar and therefore immediate and/or ongoing support may be required. The following support is available for all of our people, in addition to support offered by a person's line manager. Note that if people feel unable to speak to their line manager, they may approach an alternative manager.

2.1 EMPLOYEE ASSISTANCE PROGRAMME

The Employee Assistance Programme provides free and confidential advice and support to all employees regardless of the situation; this can be sourced by the individual directly or through the individual's line manager, Occupational Health or HR Consultancy for immediate and on-going support.

2.2 STAFF SIDE REPRESENTATIVES / WORKPLACE COMPANIONS

Whilst employees will be offered the opportunity to be accompanied at any meeting which may result in suspension, exclusion or transfer, due to the nature and timing of meetings held under this policy it is recognised that people may not always have sufficient time to arrange to be accompanied by a Staff Side (Union) Representative or workplace colleague. However, people will not be disadvantaged by attending the meeting unaccompanied as they are not required to respond to concerns raised until such a time as they are requested to attend an investigatory meeting.

Employees will have the right to be accompanied by a Staff Side (Union) Representative or workplace colleague at any subsequent formal meetings held in line with the Investigation Policy. It is the employee's responsibility to arrange accompaniment, if they do require support with this, they should contact their line manager or another appropriate manager. Having a companion has many benefits including providing the employee with advice and

support and aiding the employee's understanding of the situation. Please see <u>toolkit</u> for further guidance on the right to be accompanied.

2.3 OCCUPATIONAL HEALTH

Employees can self-refer to the Trust's Occupational Health team at any time. Manager referrals will be made for any person who either requests or is identified as needing such support. Where indicated, Occupational Health will advise on an individual's fitness to attend meetings.

3.0 ADDITIONAL CONSIDERATIONS

Outlined below are additional considerations, which may need to be taken into account within the application of this policy.

3.1 PROCEEDINGS AGAINST A STAFF SIDE REPRESENTATIVE

In all cases where the Manager is considering suspending, excluding or transferring a Trade Union Official, where reasonably possible the case will be discussed with a branch or full-time officer. However, due to the nature and timing of meetings held in line with this policy, there may not always be sufficient time to make contact with a branch or full-time officer ahead of any meetings. In these circumstances contact will be made with a branch or full-time officer as soon as practicable.

3.2 ACCESSIBLE INFORMATION

If a communication barrier is identified, the appropriate manager must ensure that they discuss with the person the relevant support available to them. This may include the arrangements for accessing an interpreter if there are language barriers or accessible information such as large print or audio documents, if required.

3.3 INVESTIGATIONS WHILST WORKING ON JOINT APPOINTMENTS

If suspension, exclusion or transfer is being considered for an employee who works across two organisations, action will be determined by the employing organisation and in some cases a joint process may be appropriate.

3.4 RECORDING OF MEETINGS

Employees are not permitted to make electronic audio and/or visual recordings at any meetings held under this policy. We take any such breaches seriously. Employees, or their companions, may take notes at the meeting. A copy of the formal meeting notes will be sent to the employee. Where meetings are being recorded as a reasonable adjustment (see 3.5) the meeting chair will be responsible for making the recording.

3.5 REASONABLE ADJUSTMENTS

A reasonable adjustment is a change to remove or reduce the effect of an employee's disability so they can do their job (ACAS).

Reasonable adjustments will be considered and implemented where reasonably possible, to ensure that people with a disability are not disadvantaged throughout the implementation of this policy and supporting procedure. Employees should make their manager aware if they feel they require any reasonable adjustments to be made. Guidance will be sought from Occupational Health to determine any recommended reasonable adjustments.

4.0 ROLES AND RESPONSIBILITIES

For further details of the roles and responsibilities of all individuals involved in the processes that support this policy please see Appendix A of the Suspension, Exclusion or Transfer SOP.

4.1 ROLE OF THE MANAGER

The manager is the individual who is directly responsible for overseeing the suspension, exclusion or transfer. Usually this will be the person's line manager.

4.2 ROLE OF THE ON-CALL MANAGER

The on-call manager provides managerial support and advice in the event of issues arising out of hours.

4.3 ROLE OF THE PEOPLE MANAGEMENT ADVISORY FORUM - PMAF

To provide scrutiny and advice with respect to the Trust's people practices to ensure that an inclusive, compassionate and person-centred approach is applied and that there is fairness and consistency in our practices across the Trust.

4.4 ROLE OF HR CONSULTANCY

The role of HR Consultancy is to work in partnership with the manager throughout the application of the Suspension, Exclusion or Transfer Policy and SOP, advising on issues of procedure and law with a view to achieving consistency and ensuring adherence to Trust Policy and SOP.

4.5 ROLE OF STAFF SIDE REPRESENTATIVES OR ACCOMPANYING WORKPLACE COLLEAGUE (COMPANION)

The role of the staff side representative or accompanying workplace colleague (companion) is to provide support and guidance to the employee throughout the process

5.0 TRAINING

Policy awareness is the responsibility of the Service Line; it should be raised through local induction and identified as a training need where appropriate. All employees should be aware that the policy is available via the intranet and via their Line Manager.

6.0 EQUALITY AND DIVERSITY AND MENTAL CAPACITY ACT

An Impact Needs/Requirements Assessment has been completed for this policy and no equality or diversity issues were identified, see appendix 1.

Solent NHS Trust is committed to safeguarding employees against discrimination in the workplace. Reasonable adjustments will be made to ensure employees with a disability, as defined by the Equality Act 2010, are not placed at a disadvantage throughout the investigation process.

7.0 SUCCESS CRITERIA / MONITORING EFFECTIVENESS

Solent NHS Trust strives to be a learning organisation and carry out regular, anonymised case reviews to continually improve.

The effectiveness of this policy will be monitored by reviewing situations that have resulted in suspension, exclusion or transfer to ensure the correct procedure is followed. Any learning points and trends will be identified by HR Consultancy who will make recommendations to the Chief People Officer about potential changes. The nominated subgroup of the Workforce & OD Committee, the Workforce Development Group, will have an overview of the workforce statistics collated.

8.0 REVIEW

This document may be reviewed at any time at the request of either staff side or management, but will automatically be reviewed triennially unless organisational changes, legislation, guidance or non-compliance prompt an earlier review.

9.0 REFERENCES AND LINKS TO OTHER DOCUMENTS

This policy may need to be read in conjunction with the following policies and procedures:

Suspension Exclusion or Transfer Procedure

Investigation Standard Operating Procedure

Improving & Managing Conduct Policy

Improving & Managing Conduct Standard Operating Procedure

Appeals Standard Operating Procedure

Resolution Policy

Resolution Standard Operating Procedure

Performance Management Policy

Attendance & Wellbeing Policy

Equality, Diversity, Inclusion and Human Rights Policy

Serious Incidents Requiring Investigation Policy

Freedom to Speak Up – Raising Concerns Policy

Policy for Managing Performance of Medical and Dental Staff

Policy on Management of Allegations of Abuse against Staff under Safeguarding Procedure

Pay Protection Standard Operating Procedure

Local Counter Fraud, Bribery and Corruption Policy

This list is not exhaustive.

This policy has been developed in line with:

- ACAS guidelines www.acas.org.uk
- NHS Improvement 'A Just Culture Guide' https://improvement.nhs.uk/resources/just-culture-guide/
- NHS Employers www.nhsemployers.org
- NHSI Improving People Practices

Appendix 1

Equality Analysis and Equality Impact Assessment

NHS Solent

Equality Analysis is a way of considering the potential impact on different groups protected from discrimination by the Equality Act 2010. It is a legal requirement that places a duty on public sector organisations (The Public Sector Equality Duty) to integrate consideration of Equality, Diversity and Inclusion into their day-to-day business. The Equality Duty has 3 aims, it requires public bodies to have due regard to the need to:

- eliminate unlawful discrimination, harassment, victimisation and other conduct prohibited by the Equality Act of 2010;
- advance equality of opportunity between people who share a protected characteristic and people who do not;
- **foster good relations** between people who share a protected characteristic and people who do not

Equality Impact Assessment (EIA) is a tool for examining the main functions and policies of an organisation to see whether they have the potential to affect people differently. Their purpose is to identify and address existing or potential inequalities, resulting from policy and practice development. Ideally, EIAs should cover all the strands of diversity and Inclusion. It will help us better understand its functions and the way decisions are made by:

- considering the current situation
- deciding the aims and intended outcomes of a function or policy
- considering what evidence there is to support the decision and identifying any gaps
- ensuring it is an informed decision

Equality Impact Assessment (EIA)

Step 1: Scoping and Identifying the Aims

Service Line / Department	People Services/HR Consultancy		
Title of Change:	Suspension, Exclusion	or Transfer Policy	
What are you completing this EIA for? (Please select):	Policy (If other please specify here)		
What are the main aims / objectives of the changes	Incorporate NHSI guidance, just culture principles, person centred approach and to separate policy and procedure (SOP).		

Step 2: Assessing the Impact

Please use the drop-down feature to detail any positive or negative impacts of this document /policy on patients in the drop-down box below. If there is no impact, please select "not applicable":

Protected Characteristic	Positive	Negative	Not	Action to address negative impact:
	Impact(s)	Impact(s)	applicable	(e.g. adjustment to the policy)
Sex			X	
Gender reassignment			Χ	

Disability		Χ	
Age		Χ	
Sexual Orientation		Χ	
Pregnancy and		Χ	
maternity			
Marriage and civil		Х	
partnership			
Religion or belief		Χ	
Race		Χ	

If you answer yes to any of the following, you MUST complete the evidence column explaining what information you have considered which has led you to reach this decision.

Assessment Questions	Yes / No	Please document evidence / any mitigations
In consideration of your document development, did you consult with others, for example, external organisations, service users, carers or other voluntary sector groups?)	Yes	Internal stakeholders – including managers, employees, Occupational Health, Unions.
Have you taken into consideration any regulations, professional standards?	Yes	ACAS Code, NHSI recommendations as per Dido Harding letter, NHS People Plan, Just Culture Guide

Step 3: Review, Risk and Action Plans

How would you rate the overall level of impact /	Low	Medium	High
risk to the organisation if no action taken?			
What action needs to be taken to reduce or eliminate the negative impact?	Fair and con	sistent applica	tion of policy
Who will be responsible for monitoring and regular review of the document / policy?	HR Consulta	ncy	

Step 4: Authorisation and sign off

I am satisfied that all available evidence has been accurately assessed for any potential impact on patients and groups with protected characteristics in the scope of this project / change / policy / procedure / practice / activity. Mitigation, where appropriate has been identified and dealt with accordingly.

Equality	H. West	Date:	09/10/2020
Assessor:			

Additional guidance

Prote	ected characteristic	Who to Consider	Example issues to consider	Further guidance
1.	Disability	A person has a disability if they have a physical or mental impairment which has a substantial and long term effect on that person's ability to carry out normal day today activities. Includes mobility, sight, speech and language, mental health, HIV, multiple sclerosis, cancer	 Accessibility Communication formats (visual & auditory) Reasonable adjustments. Vulnerable to harassment and hate crime. 	Further guidance can be sought from: Solent Disability Resource Group
2.	Sex	A man or woman	 Caring responsibilities Domestic Violence Equal pay Under (over) representation 	Further guidance can be sought from: Solent HR Team
3	Race	Refers to an individual or group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.	 Communication Language Cultural traditions Customs Harassment and hate crime "Romany Gypsies and Irish Travellers", are protected from discrimination under the 'Race' protected characteristic 	Further guidance can be sought from: BAME Resource Group
4	Age	Refers to a person belonging to a particular age range of ages (eg, 18-30 year olds) Equality Act legislation defines age as 18 years and above	Assumptions based on the age range Capabilities & experience Access to services technology skills/knowledge	Further guidance can be sought from: Solent HR Team
5	Gender Reassignment	"The expression of gender characteristics that are not stereotypically associated with ones sex at birth" World Professional Association Transgender Health 2011	Tran's people should be accommodated according to their presentation, the way they dress, the name or pronouns that they currently use.	Further guidance can be sought from: Solent LGBT+ Resource Group
6	Sexual Orientation	Whether a person's attraction is towards their own sex, the opposite sex or both sexes.	 Lifestyle Family Partners Vulnerable to harassment and hate crime 	Further guidance can be sought from: Solent LGBT+ Resource Group
7	Religion and/or belief	Religion has the meaning usually given to it but belief includes religious and philosophical beliefs, including lack of belief (e.g Atheism). Generally, a belief should affect your life choices or the way you live for it to be included in the definition. (Excludes political beliefs)	 Disrespect and lack of awareness Religious significance dates/events Space for worship or reflection 	Further guidance can be sought from: Solent Multi-Faith Resource Group Solent Chaplain
8	Marriage	Marriage has the same effect in relation to same sex couples as it has in relation to opposite sex couples under English law.	PensionsChildcareFlexible workingAdoption leave	Further guidance can be sought from: Solent HR Team
9	Pregnancy and Maternity	Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth and is linked to maternity leave in the employment context. In non-work context, protection against maternity discrimination is for 26 weeks after giving birth.	 Employment rights during pregnancy and post pregnancy Treating a woman unfavourably because she is breastfeeding Childcare responsibilities Flexibility 	Further guidance can be sought from: Solent HR team