

POLICY DOCUMENT

# Transfer of Information Policy

## Policy Review Schedule

Date first Approved by the QMG: February 2019

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Policy Owner: Senior Professional Support Manager

### Amendment Overview

Version	Date	Pages	Comments	Actioned
1.1	June 2018	9	TOI process removed from PSU guidance as separate policy	G Dennison
1.2	August 2018	9	Revised following feedback from with TRG members	D Hughes
1.3	August 2018	9	Revised to include sharing of FtP concerns on completion of training	D Hughes
1.4	August 2018	11	Revision to reasons for transferring of information	D Hughes
1.5	April 2019	11	Amended to include review of DDRG trainee list	D Hughes
1.6	February 2020	12	Revised to include STEP process, removal of GP TAP section & information in regard to SharePoint	D Hughes
1.7	December 2021	11	Complete policy revision	G Dennison

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## **Role of the Northern Ireland Medical and Dental Training Agency**

The Northern Ireland Medical and Dental Training Agency (NIMDTA) is an Arm's Length Body sponsored by the Department of Health (DoH) to train postgraduate medical and dental professionals for Northern Ireland. NIMDTA also seeks to serve the government, public and patients of Northern Ireland by providing specialist advice, listening to local needs and having the agility to respond to regional and national requirements.

NIMDTA commissions, promotes and oversees postgraduate medical and dental education and training throughout Northern Ireland. NIMDTA endeavours to attract and appoint individuals of the highest calibre to recognised training posts and programmes. NIMDTA encourages doctors to train and remain in NI so that Health and Social Care (HSC) has a highly competent medical and dental workforce with the essential skills to meet the changing health needs of its population.

NIMDTA organises and delivers the recruitment, selection and allocation of doctors and dentists to foundation, core and specialty training programmes. NIMDTA supports trainees with the aim of maximising their potential to successfully progress, complete training and be appointed to permanent posts in NI. NIMDTA manages the quality of postgraduate medical and dental education in HSC Trusts and in general medical and dental practices through learning and development agreements, the receipt of reports, regular meetings, trainee surveys and inspection visits. It works in close partnership with local education providers to ensure that both the training and supervision of trainees support the delivery of high quality safe patient care. NIMDTA provides trainees with a wide range of opportunities to gain experience in leadership, quality improvement, research and teaching.

NIMDTA trains clinical and educational supervisors and recommends them to the General Medical Council (GMC) for recognition of their role. NIMDTA selects, appoints, trains and develops educational leaders for foundation, core and specialty medical and dental training programmes throughout NI.

NIMDTA is accountable to the GMC for ensuring that the standards set by the GMC for medical training, educational structures and processes are achieved. Revalidation is the process by which the GMC confirms that doctors are up to date and fit to practice. NIMDTA is the Designated Body for doctors in training and has a statutory role in making recommendations to the GMC to support the revalidation of trainees. NIMDTA is also responsible to the GDC for the Standards for Specialty Education.

NIMDTA enhances the standard and safety of patient care through the organisation and delivery of career development for general medical and dental practitioners and dental care professionals. It also supports the career development of general medical practitioners and the requirements for revalidation through the management and delivery of GP appraisal.

NIMDTA has been integrated as lead employer for Doctors and Dentists in training (DDiT) across the HSC. The aim of this service is to provide a high quality continuous employment experience for DDiT.

NIMDTA plays a key role in attracting DDiT to the HSC, and in creating an environment where they wish to continue to remain practising within the HSC.

NIMDTA carries out these roles on behalf of the DoH by focussing on the needs of people (population, trainees, trainers and NIMDTA staff), in partnership with key stakeholders and by upholding the HSC Values - openness and honesty, compassion, excellence and working together.

## Policy Influences

This policy has been influenced by the following:

- Maintaining High Professional Standards (MHPS): A framework for the handling of concerns about doctors and dentists in the modern HPSS (DoH)
- A Reference Guide for Postgraduate Foundation and Specialty Training in the UK (*The Gold Guide 8<sup>th</sup> Edition 2020*)
- Supporting Trainees Entering Practice (STEP) (*UKFPO*)
- Promoting excellence: Standards for Medical Education and Training (*GMC*)
- UK Committee of Postgraduate Dental Deans and Directors (*COPDEND Dental Gold Guide*)
- Handling concerns about practitioners' health: A manager's guide (*PPA*)
- Revalidation Requirements for Doctors in Training (*GMC*)
- Integrated Guidance on Health Clearance of Healthcare Workers and the Management of Healthcare Workers Living with Bloodborne Viruses (Hepatitis B, Hepatitis C and HIV) (*UK Advisory Panel for Healthcare Workers Living with Bloodborne Viruses – UKAP*)
- Doctors in Training with Bloodborne Virus Infection (*4 Nations*)

## Policy Impact

This policy may have an impact on the following:

- Professional Support Unit Policy
- Learning and Development Agreement
- Allocations of Placement Policy
- Special Circumstances Policy
- Revalidation Operational Policy
- Failure to Comply with the Requirements of the Training Programme Policy
- Fitness to Practise Policy

## 1.0 Definition

The Transfer of Information process is a means of supporting doctors and dentists in training and protecting patients as trainees move between Local Education Providers (LEPs). In particular, this process seeks to highlight doctors who may require additional support during their training programmes. The process is one of the mechanisms by which NIMDTA passes on information relating to doctors and dentists in order to safeguard patient safety.

## 2.0 General Principles

2.1 The purpose of transferring information is to ensure that the LEP is aware of any support and/or reasonable adjustments that the trainee may require and whether the trainee has been the subject of an investigation or restrictions to their practice. Information shared may be sensitive and therefore it must be treated as confidential.

2.2 There are two processes for transferring information, as follows:

- Process 1: Foundation Supporting Trainees Entering Practice (STEP) process in relation to medical students progressing to Foundation training. See section 3.0 for further details.
- Process 2: NIMDTA Transfer of Information process relating to trainees rotating within Foundation, General Practice, Hospital Specialty Training and Dental training programmes or moving from one NIMDTA programme to another. See section 4.0 for further details.

## 3.0 Medical School Supporting Trainees Entering Practice (STEP) Process

3.1 This is a national process to transfer information from the medical school to the receiving Foundation school. This process is designed to support students in the transition from medical school to postgraduate training and employment.

3.2 UK Final Year medical students complete the STEP online form in March, which includes declarations in relation to health and welfare, educational progress and professional performance. A copy of the form is available at [Preparing for F1 - UK Foundation Programme](#)

3.3 Following submission of the form, the Medical School representative will review the details on the form and confirm if the details are correct. The Medical School will either “Approve” or “Reject” each student’s declarations. If the Medical School rejects and requests amendments, the form will be sent back to the student to amend.

- 3.4 Medical Students from outside the UK will complete the STEP form in paper format. The form is forwarded to NIMDTA by the university or student before the national deadline of 31 May.
- 3.5 Details from all forms received will be collated in an excel spreadsheet by the Foundation Team. The information is reviewed by the Foundation School Director (or deputy) with consideration given to any adjustments or additional support that may be required. If the student has declared information in any of the three areas on the form, they will be asked to consent to the Foundation School Director contacting them to discuss the contents of their form. If consent has been provided, the Foundation School Director (or deputy) will meet with those who have highlighted significant issues to provide support. If consent is not provided the student will be directed to the relevant NIMDTA policy to establish what further action is required (if any).
- 3.6 The spreadsheet is shared with their Foundation Programme Director and Director of Medical Education, and others as deemed necessary by the Foundation School Director.
- 3.7 Information in relation to health and welfare will be shared with Occupational Health in the Local Education Provider (LEP) where the trainee is due to commence placement. The student will have provided consent to do so on the STEP form. Any trainees who require adjustments will be also be referred to the Professional Support Unit for support and for consideration of transferring information on the Transfer of Information form for subsequent rotations (see section 4.0). A summary of health and welfare declarations and educational progress declarations will be reviewed by the Trainee Review Group.
- 3.8 A summary of professional performance issues will be reviewed by the Doctors and Dentists Review Group (DDRG) to establish if the information provided on the form is likely to have an impact on the trainee's Fitness to Practise or if further action is required.
- 3.9 Foundation trainees who have been allocated to the Northern Ireland Foundation School through the pre-allocation process will be provided with information about the NIMDTA Special Circumstances Policy in case a further application is required in relation to their posting. If their Special Circumstances relate to significant health issues, Occupational Health will also be informed as indicated in 3.7.
- 3.10 When trainees rotate to a different LEP site during the Foundation programme, it may be necessary for the current Foundation Programme Director to share information with the next Foundation Programme Director.
- 3.11 The Foundation School will transfer information regarding progress or concerns about Foundation year 1 doctors to the relevant medical school, as required.



## 4.0 Transfer of Information (TOI) Process

4.1 The NIMDTA TOI process will be facilitated by the use of a *Transfer of Information Report* (see Appendix 1). This will be completed for all doctors and dentists in training, identified via the Trainee Review Group (TRG) or Doctors and Dentists Review Group (DDRG), who:

- have been diagnosed with a health issue which requires workplace adjustments and/or has the potential to impact on their training (TRG)
- have been diagnosed with a disability which requires workplace adjustments and/or has the potential to impact on their training (TRG)
- are currently under investigation by the Police, GMC/GDC, local education provider or other regulatory body which has not reached a conclusion (DDRG)
- are subject to GMC/GDC restrictions (conditions or undertakings) (DDRG)
- have received a warning from an local education provider or regulator which is currently active or was active in the last 12 months (DDRG)
- are or have been subject to any remediation process, involving NHS Resolution Practitioner Performance Advice (formerly NCAS), addressing deficits in clinical performance during the last 12 months (DDRG)
- may require additional support or supervision for another reason (TRG)

4.2 The TOI report will be issued in advance of the February and August changeover dates. The February report will include the April/May rotation and the August report will include the November/December rotation, however information may also transfer as required throughout the year.

4.3 TOIs may also be required in the following circumstances :

- trainees newly appointed to the Northern Ireland Deanery
- trainees taking up a post outside the Northern Ireland Deanery which will include OOP or Interdeanery Transfers
- trainees who are leaving training in Northern Ireland (see section 5).

4.4 The Associate Dean for Professional Support and Wellbeing will act as the contact for further information in relation to TOIs for trainees accessing services via the Professional Support Unit. The Postgraduate Medical Dean will act as the contact in relation to TOIs for trainees who have been identified via the Doctors and Dentists Review Group (DDRG).

4.5 Trainees will be notified by email that they will be included in the TOI report.

4.6 Following this the TOI report will be divided by Trust/programme and uploaded onto the relevant section of the Transfer of Information SharePoint. The information will be uploaded onto the following sections as appropriate:

- MD/DME – this page is restricted to the Medical Director, Director of Medical Education and other appointed individuals of each Local Education Provider.

- Foundation – this page is restricted to the Foundation School Director and Foundation School Manager, who will share TOI’s with the relevant Foundation Programme Director.
  - General Practice – this page is restricted to the Director of General Practice and the GP Training Manager who will share them with the Educational Supervisor, and where appropriate, the Clinical Supervisor of the GP placement. TOIs in relation to F2 doctors rotating to a General Practice placement will also be uploaded; the Director of General Practice will share them with the Clinical Supervisor of the GP placement.
  - Dental – this page is restricted to the Postgraduate Dental Dean and the Dental Training Manager who will share them with relevant Training Programme Director, Educational Supervisor and where appropriate, the Clinical Supervisor.
  - Hospital Specialty – this page is restricted to the Director of Hospital Specialty Training and Hospital Specialty Training Manager.
  - Lead Educator – this page is restricted to the relevant Head of School and Deputy Head of School. The TOI’s will be forwarded to the relevant Training Programme Director by email.
- 4.7 TOIs will be shared with the receiving Occupational Health department if ongoing review is required or adjustments are in place. The Professional Support Team will contact the trainee to seek consent to share the most recent OH report with the receiving OH department. A new management referral form will not be required if a recent OH report is shared.
- 4.8 Information in regard to trainees who require adjustments as a result of their Pre-Placement Health Assessment (PPHA) will be reviewed to consider the need for a referral to Professional Support and a TOI for subsequent rotations.
- 4.9 Information in regard to trainees with a blood borne virus will be transferred using the following process:
- The trainee will declare their BBV on their PPHA questionnaire
  - An OH review will be carried out and any requirement for restrictions, monitoring or adjustments will be noted on the Pre-employment Checks SharePoint. This information is shared with Trust Medical HR and the relevant NIMDTA specialty school. OH will seek the trainee’s permission to share information directly with the trainee’s subsequent OH department.
  - When the trainee rotates, they will be included on the TOI report shared with the relevant DME, OH department and specialty school. The report will highlight that detailed information will be shared directly between OH departments.
  - In advance of rotation, OH will transfer BBV information directly to the trainee’s new OH department (as detailed in Appendix 2 of Integrated Guidance on Health Clearance of Healthcare Workers and the Management of Healthcare Workers Living with Bloodborne Viruses (Hepatitis B, Hepatitis C and HIV). OH will also provide the trainee with copies of relevant documentation to share with their next trust.

## **5.0 Transfer of Information for Trainees Leaving Programmes in Northern Ireland**

5.1 It is possible that a trainee may complete training or resign from the training programme with one or more of the following:

- undergoing an investigation (by the police, GMC/GDC, NHS Resolution, local education provider or other regulatory body) which has not reached a conclusion
- subject to GMC/GDC restrictions (conditions or undertakings)
- in receipt of a warning from a local education provider or regulator which was active in their last placement
- subject to a remediation process, involving NHS Resolution, addressing deficits in clinical performance in their last placement

5.2 The Medical Director, as Responsible Officer will share the trainee's last ARCP following receipt of a request from another Responsible Officer. There may also be occasions where the Medical Director or Postgraduate Dean will make contact with a new Responsible Officer to make them aware of concerns. For Dental trainees information will be shared via the Postgraduate Dental Dean.

5.3 The trainee will be advised that this information is being shared with their new Responsible Officer and they will be provided with a copy.

## **6.0 Roles and Responsibilities**

- DME – the DME (or equivalent) should ensure that the information is cascaded appropriately through educational routes within the Trust. They will ensure that required adjustments are considered and implemented if appropriate. The DME may feel that it would be beneficial to meet with the trainee or to contact them for further information.
- OH – the new OH team should arrange for the case to transfer to their trust and will arrange a review appointment as required.
- Lead Educator – the Lead Educator may be required to make contact with the receiving department to ensure that all relevant information is transferred to the new Educational Supervisor.

## Appendix 1 Sample Transfer of Information Report

Active Case With	For Information /Action	Surname	Forename	Registration Number	Training Programme	Grade	Posting	Posting Date From	Posting Date To
Trainee Review Group	Action	Smith	John	7278034	General Practice	ST2	RVH, BHSC	01-Feb-22	01-Aug-22
Doctors & Dentists Review Group	Information	James	Laura	7285963	Core Psychiatry Training	CT1	Holywell, NHSC	04-Aug-21	02-Aug-22
Trainee Review Group	Action	Simpson	Peter	7895623	Paediatrics	ST1	RBHSC, BHSC	01-Feb-22	01-Aug-22
Trainee Review Group	Action	McClelland	Simon	7568921	Foundation	F2	MIH, BHSC	04-Aug-21	05-Apr-22
Doctors & Dentists Review Group	Information	Jamison	Samantha	7489621	General Surgery	ST4	RVH, BHSC	04-Aug-21	02-Aug-22

Reason Information Transferred	Occupational Health Review	Comments
Has been diagnosed with a health issue which requires workplace adjustments and/or has the potential to impact on their training	Currently under review at SE Trust, ongoing review required	Currently unable to work OOH
Has received a warning from their local education provider or regulator which is currently active or was active within the last 12 months	None	GMC warning active until 2022
Has been diagnosed with a disability which requires workplace adjustments and/or has the potential to impact on their training	Currently under review at SE Trust, ongoing review required	Currently unable to work OOH, must have regular rest breaks
Has been diagnosed with a health issue which requires workplace adjustments and/or has the potential to impact on their training	Ongoing monitoring required	Detailed information will transfer directly between OH departments
Is currently under investigation by the Police, GMC/GDC, local education provider (LEP) or other regulatory body which has not reached a conclusion	None	Subject of a MHPS investigation

Data created for illustration purposes