



Standard operating procedure (SOP) for primary care support services for processing applications to join the **ophthalmic** performers list, including preparation of the pack required for medical director consideration and details for processing changes of circumstance/status and transfers

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Standard operating procedure (SOP) for primary care support services

Standard operating procedure for processing applications to join the ophthalmic performers list, including preparation of the pack required for medical director/responsible officer (RO) consideration and details for processing changes of circumstance/status and transfers

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Contents

1	Introduction	6
2	Aims	6
3	Background.....	7
4	Governance arrangements	7
5	Scope	8
6	Application Process	8
6.1	Meeting the applicant	9
6.2	Disclosure and Barring Service (DBS).....	11
6.3	Police check and certificate of good standing	12
6.4	Accepting the application	12
6.5	Review of the information on the OOs performers list application (after meeting with applicant)	13
6.6	Checks with fraud, litigation and other professional organisations (as required)	17
6.7	Non-progressed applications.....	18
6.8	Sending the application to the medical director/RO	18
7	Management of the performers list	19
7.1	Change of circumstance/status	19
7.2	Processing a change of name.....	19
7.3	Processing a change of address.....	20
7.4	Processing a change of status	20
7.5	Processing a transfer of practice within existing Team.....	20
7.6	Resignation and retirement	21
7.6	Death of a performer.....	21
7.7	Removal or suspension of those already on the performers list and inclusion with conditions or refusal to be admitted for those applying to join the performers list....	22
7.8	Transfers between Teams.....	22
7.9	Actions required by the PCS service that the performer is currently aligned to, when notification is received that a performer is moving to a new Team:.....	23
8	Monitoring and review of procedure note	24
8.1	Monitoring arrangements.....	24
8.2	Equality impact assessment.....	24
8.3	Associated documents	24
8.4	References	25

OFFICIAL

Annex A: Abbreviations and acronyms	26
Annex B: OOs performers list admission checklist and medical director/RO cover sheet	31
Annex C: Letter and declaration to be sent if performer has a concurrent live entry on a Scotland, Northern Ireland or Wales list	35
Annex D: Sample letter and standard clinical reference form to be used	38
Annex E: NHS Protect and NCAS checks	43
Annex F: Non progressed application – sample letter to inform performer	44
Annex G: Sample letter of inclusion onto the medical performers list	45
Annex H: Sample acknowledgement letter – change of name, status – only required if the change cannot be processed within five working days	46
Annex I: Sample confirmation letter – change of name, address or status	47
Annex J: Sample letter to performer informing that the requested change cannot be made ...	48
Annex K: Sample acknowledgement letter – performer wishing to move practice within their existing Team	49
Annex L: Sample letter to practice/s requesting confirmation of start or leaving dates	50
Annex M: Sample acknowledgement letter – confirming receipt of wish to be removed.....	51
Annex N: Sample letter to performer informing that they have been removed from the performers list.....	52
Annex O: Sample letter to performer informing that they cannot be removed at the present time.....	53
Annex P: Sample letters to organisations – notification under regulation 18.....	54
Annex Q: Sample letter to performer of notification under regulation 18.....	57
Annex R: Checklist for performer’s transfer of Team	58
Annex S: Sample letter and declaration to be sent to Team to which the performer is currently aligned for completion and electronic transfer of documentation.....	60
Annex T: Sample letter to previous Team requesting for performer to be ‘ended’ on their system.....	63
Annex U: Sample letter to performer informing that they have been transferred.....	64

1 Introduction

From 1 April 2013, the NHS Commissioning Board adopted the name NHS England, a name that gives people a greater sense of our role, scope and ambitions - as the organisation responsible for allocating the NHS budget, working to improve outcomes for people in England and ensuring high quality care for all, now and for future generations.

Our legal name remains the NHS Commissioning Board as set out in our establishment orders. While the NHS Commissioning Board will be known as NHS England in everything that we do, there are times when the statutory name is required for legal and contractual transactions. The following list provides some key examples of legal documentation which requires us to use our full legal name:

- Human resources (HR) contract of employment;
- Any documentation involving a court of law, e.g. litigation claims
- Contracts for directly commissioned services.

For ease of reference NHS England is the generic term used throughout this policy.

2 Aims

The standard operating procedure for primary care support (PCS) sets out the process to be followed to ensure a consistent approach is followed for processing applications for inclusion in NHS England's national ophthalmic performers lists in accordance with the National Health Service (Performers Lists) (England) Regulations 2013.

The procedure details the steps to be taken in preparation of the application pack for consideration by NHS England Teams medical directors/ROs or nominated deputies.

The aim of the procedure is to enable NHS England to make informed decisions about applications for inclusion in the national ophthalmic performers lists and assure itself of the suitability of ophthalmic opticians (OOs) and ophthalmic medical practitioners (OMPs) it includes.

This procedure also includes details of how to manage the list in respect of changes in circumstance/status and transfer between Teams.

SOPs for PCS have also been developed for processing applications for inclusion in NHS England's national medical and dental performers lists.

3 Background

OOs and OMPs who are GMC qualified and wish to provide NHS ophthalmic services in primary care must be included in the ophthalmic performers list.

Where an application is straight forward and without concerns or where mandatory refusal is required the decision for inclusion onto NHS England national performers list rests with the medical director/RO or nominated deputy of NHS England's Team where the applicant wishes to practise.

If the medical director/RO has any concerns, a meeting of the performance advisory group (PAG) will be arranged to consider the application. If a decision regarding conditional inclusion or refusal is required the application will then be passed to the performers list decision panel (PLDP) for consideration.

4 Governance arrangements

NHS England discharges its functions through Teams that cover an agreed geographical footprint; each has an appointed medical director/RO.

Performers are required to be connected to an appropriately qualified clinician in a Team (currently the medical director/RO).

The Team to which the performer should be aligned may differ depending on their place of work or their place of residence.

Performers who work at more than one practice should apply and be assigned to the Team where they are based for the majority of their time.

In the case of performers who have not yet secured a place of work, the Team to which they are assigned will be determined by their UK home address as recorded by the General Optical Council (GOC). However it is possible that the performer may have provided the GOC with their home address in their country of origin when they first registered. In this case the applicant should be advised to notify the GOC to amend their records to reflect the UK home address.

OOs and OMPs whose home address is outside of England and who have not secured a place of work but can demonstrate a significant plausible intention to practise in England and are eligible to be on NHS England's national performers list, will be linked to the Team as detailed in the table below:

GOC registered address is in:	NHS England Team medical director/ RO
Scotland	Cumbria and North East
North Wales	North Midlands
South Wales	West Midlands
Channel Islands	Wessex
Northern Ireland	Cheshire and Merseyside
Isle of Man	Cheshire and Merseyside
Elsewhere outside the UK	London

Once a performer has been included in the national performers list and the performer changes the area or practice where he or she carries out the majority of his or her work, the performer is responsible for notifying the team where they will be working, as soon as practical. Performers should complete the relevant change notification form (NPL2 or 3) and submit this to the PCS office.

5 Scope

This SOP covers the steps to be taken from:

- Receipt of an application form for inclusion in the national OOs performers list.
- Submission of the assessment pack to the relevant NHS England Team medical director with a summary of information provided and any information of note flagged.
- Notifying the applicant of the Team's decision.
- Completing entries on the payments system and primary care information system (PCIS). This includes locums.
- Administering changes to the performers list regarding change of circumstance/status and transfer between Teams

6 Application Process

The application form should be downloaded from the NHS England website.

<http://www.england.nhs.uk/joint/>

OOs are permitted to apply to the NHS ophthalmic performers list up to a maximum of three months prior to the expected date of successful completion of their pre-registration year. It is noted that many practitioners await completion of their exams before applying. This means that though qualified and legally permitted to carry out private eye examinations, they may not perform NHS sight tests until included on the performers list.

Applicants will not be refused entry onto the performers list on the basis that they have not secured a job offer as a job offer is dependent on the applicant having a performers list number. The applicant can be included on the performers list before they can obtain employment.

The electronically completed application form should be sent to the PCS service who will check if the applicant has indicated under Section 3: Professional details – Performers List History if they are currently on the performers list in England by referring to the primary care performers directory <https://nww.openexeter.nhs.uk/nhsia/index.jsp>. At this stage, the PCS Service will also verify that the applicant is applying to the correct Team.

Applications received from performers who have been nationally disqualified from the performers list on the grounds of suitability or fraud cannot be considered unless permission to lift the national disqualification has been granted by the First Tier Tribunal.

If following review of the application it is evident that the performer was nationally disqualified within the previous two years, the application will not be progressed, and will be returned to the applicant with an explanation why it cannot be progressed.

A performer can have concurrent performer list entries with a Welsh, Northern Ireland or Scottish Health Board but only one list entry in England.

If an existing live entry for England is found on the primary care performers directory the PCS service will process the application as a transfer to another Team, as detailed later within this document. This would not be considered as an application to **join** the performers list.

Once it has been established that the applicant does not have a live entry for England then the application may be processed as follows.

6.1 Meeting the applicant

Applicants must make an appointment with the PCS office to submit their supporting documentation in person in respect of their application for inclusion in the OO performers list.

All applicants must submit the following:

1. A completed application form that is not hand written. The application should have already been received by the PCS office; however the applicant should have a copy with them when they attend the appointment.
2. An enhanced disclosure and barring certificate and the online checking details.
3. Current passport (original) or (where the applicant does not have a passport) an

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acceptable photo ID (original) as defined on the Disclosure and Barring Service website.

4. Curriculum vitae.
5. Evidence of membership of a professional defence organisation, at appropriate level
6. If the practitioner has had an appraisal outside of NHS England's appraisal scheme, ensure that the practitioner provides a copy of a statement summarising the appraisal, otherwise provides a copy of the last appraisal.

Applicants from outside the UK must also include with their application the following documents:

1. A certificate of good standing from their relevant professional body (with the exception of Australia and New Zealand). This certificate must be translated into English by a bonafide recognised body and signed by an official translator.
2. Work permit (non EEA applicants to UK after 1985 only).

Applicants who cannot provide UK residency details for last five years must also include with their application:

1. A police check to identify any criminal activity the applicant has been involved in while outside of the UK – this is required for all countries the applicant has been resident in their absence from the UK.

Documents demonstrating communication skills:

Applicants who have studied or trained in the UK or Irish Republic must provide:

1. A certificate of graduation or postgraduate training from a UK or Irish Republic medical school;

If applicants have not studied or trained in the UK or Irish Republic, they must provide one of:

1a A certificate indicating a pass obtained within the last two years of one of the current accepted language tests (or equivalent), at the required level of IELTS 7.5 (or equivalent) as defined by the regulator. (Details of the standard are found in the application form for inclusion in the national performers lists NPL1); or

1b A certificate of graduation or postgraduate training within the past two years from a recognised university or college and examined in English; (Please refer to the general information section of this document for a list of countries where the first and native language is English)

AND

2. Evidence of three months professional employment from the past two years in a country where English is the first language, and current English language capabilities necessary for the work which those included in the list could reasonably be expected to perform are documented in the references submitted as part of the application form.

In circumstances where the applicant cannot demonstrate evidence of their English language proficiency through the IELTS test or references, the Team will need to consider on a case by case basis whether the applicant has a sufficient command of the English language to allow inclusion on the list. In the event that the Team requires the applicant to undertake an oral language test, the cost of this will need to be met by the applicant.

6.2 Disclosure and Barring Service (DBS)

Previously, a certificate issued by the Criminal Records Bureau was a requirement. This certificate is no longer acceptable as it has been superseded by an enhanced disclosure and barring certificate issued by the DBS. Details can be found at: <https://www.gov.uk/dbs-update-service>.

The disclosure and barring update service applicant guide, dated January 2014 states that subscription to the online update service is not a requirement of the DBS but some organisations may make subscription a condition of employment. NHS England has placed this requirement on all applications to the performers list and it reserves the right to use the online checking at regular intervals during the period that the performer is included on the performers list to assure itself that there have been no material changes to the performers status.

In addition it is a requirement that applicants must register for the online update service within 14 days of the certificate being issued. This subscription to the DBS online update service must be renewed every year and is at the cost of the applicant.

Applicants seeking to join the Performer List will be required to complete and submit these forms themselves and can use any one of the umbrella bodies recommended by the Home Office for supporting applicants with their DBS application. These umbrella bodies can be found at <https://dbs-ub-directory.homeoffice.gov.uk/>

Once the applicant has registered with the DBS online service and the details have been forwarded by the applicant to the PCS office, an online check must be undertaken as part of the application process.

In the interest of NHS performers and patient safety, NHS England recommends that when the applicant attends the PCS offices an identity check is completed to the standard as set out on the DBS website. <http://www.gov.uk/disclosure-barring-service-check>. This is the standard ID verification process recommended by the Home Office, NHS Employers and the DBS.

6.3 Police check and certificate of good standing

The police check to identify any criminal activity the applicant has been involved in while outside of the UK should be obtained by the applicant by contacting the Home Office or Embassy (guidance is available on the DBS website).

The certificate of good standing should be obtained by the applicant by contacting their registered professional body.

Where a police check and or certificate of good standing is required, this should be supplied in English and if not in English, the applicant must provide a translation undertaken by a bonafide organisation and signed by an official translator.

6.4 Accepting the application

All documents must be originals. However as some defence organisations now only issue electronic certificates, applicants may present their printed certificate as evidence of membership.

Photocopies cannot be accepted.

Please note that it is the responsibility of the applicant to obtain all information required for the application.

At the meeting with the applicant, the PCS service will:

1. Create a OOs performers list admission checklist (Annex B) for use throughout the process. This checklist highlights all actions which need to be undertaken and records the responses received prior to submitting the application pack to the medical director/RO.
2. Check that NPL1 form is completed and signed.
3. Check that the names of two clinical referees have been identified.
4. Practitioners must evidence 'appropriate indemnity arrangements'. All insurance must cover UK practice. Any indemnity / insurance cover, which describes limited cover by imposing a ceiling on compensation payments / legal cover, or applying exclusions or exemptions must be recorded, and referred to the medical director/RO for consideration.
5. Review all the required supporting documents listed above to ensure that they are relevant and in date for the post applied for e.g. the professional indemnity must be commensurate with the post and in date. Particular attention should be paid to the visa, work permit and photo ID pages of the applicants passport. Record passport issue number on the OO performers list admission checklist.

6. Check that the applicant has provided a DBS enhanced disclosure certificate and subscribed to the online update service or supplied the relevant fees and documentation for an application to be made. The PCS service will use the online update service to undertake status checks for any information added to the applicant's disclosure since the date of issue of the certificate. Once the certificate has been checked online, if all categories are satisfactorily completed as 'None Recorded' this should be recorded on the OO performers list admission checklist. Where any other information is recorded on the certificate, a copy of the certificate should be included in the pack sent to the medical director/RO.
7. Applicants to the ophthalmic performers list are not routinely required to undertake an occupational health assessment to provide them with clearance to work within the NHS, however, NHS England reserves the right to request assessment if an ophthalmic performer is planning to provide an extended scope of service.
8. Complete the OOs performers list admission checklist to show all required documents have been seen. Photocopy the original documents and endorse the copies 'originals sighted' together with the date and signature of verifier. Sensitive financial data should be obscured before copying. The original documents should then be handed back to the applicant, in line with NHS England's information governance policy.

6.5 Review of the information on the OOs performers list application (after meeting with applicant)

Throughout the review of the information on the OOs performers list application, any information of note that is not specifically detailed below must be entered onto the OO performers list admission checklist. This could include any concerns over communication skills.

Section 1 Personal details

Work permits/right to remain/highly skilled migrant programme

- It is the responsibility of all employers or contractors who subsequently employ or engage the applicant to check the validity of the work permit/right to remain.
- The applicant once admitted to the performers list has a duty to inform the Team should the work permit/right to remain status change.

If the applicant has supplied or is required to supply a certificate of good standing or police check, this should be noted on the OO performer's list admission checklist. The documentation must be translated into English and should be included in the pack to be sent to the medical director/RO.

Section 2 Practice details

There are no actions under this section for the PCS service.

Section 3 Professional details

a) GOC registration – OOs

All OOs registrations can be viewed on the GOC website: <http://www.optical.org/>

Check the applicant's professional details on the GOC website to verify they are correct and print the entry. If there is no entry for the applicant, contact the GOC on 020 7580 3898 to check for registration. If the applicant is registered and there are no issues but the entry is yet to be uploaded onto the GOC website, diarise to check the website every seven days until able to print the entry.

If the registration check with the GOC gives rise for concern, ask the GOC to provide written confirmation of the concern.

Record the outcome of the GOC registration check on the OO performers list admissions checklist.

b) GMC registration – OMPs only

All medical practitioners' registrations can be viewed on the GMC web site <http://www.gmc-uk.org/doctors/register/LRMP.asp> It should be noted that not all OMPs will be included on the register.

A print of the applicant's information displayed on the screen should be taken for the file.

Should the website check not provide details of the doctor concerned, contact the GMC phone line – telephone 0845 3573456 and follow the voicemail instructions, to check that the doctor:

- holds full and unrestricted registration;
- is “registered with a licence to practice”; and
- is “included in the GP Register”.

When prompted, request a fax reply (using a ‘safe haven’ fax number) to receive confirmation of the registration status.

If there are restrictions entered against the doctor you will be transferred from the automated line to a member of staff, who will confirm verbally that there are restrictions/information of note against the GP. The GMC will provide written confirmation of the advice given via the PCS safe haven fax number but a request for this information must be faxed or emailed to the

GMC. Obtain a secure email address and send a request for the written confirmation of the restrictions/information of note.

Record the outcome of the GMC registration check on the OOs performers list admission checklist.

For OMPs check that they have supplied an Ophthalmic Qualifications Committee (OQC) number in the application form. c) Professional experience.

Review against the information provided in the application form (NPL1) and in the applicants CV for consistency. Check for any unexplained gaps between appointments or any unusual patterns in employment e.g. return to UK after working abroad, a prolonged break between training and entry into practice. Where there are unexplained gaps in service, seek further explanation from the applicant.

Note any factual observations on the OOs performers list admission checklist for inclusion in the application pack and submission to the responsible officer/medical director.

d) Performer list history

For any live inclusions in Scotland, Northern Ireland or Wales, check with the relevant health board(s) to ensure that there are no ongoing issues or areas of concern by emailing or posting an enquiry (Annex C) with a copy of the applicant's consent by way of section 8: undertakings in the application pack. Note the date of the enquiry on the OO performers list admission checklist. If no reply is received after two weeks, chase again and follow up in one week. If a reply has still not been received, chase again but also escalate to the head of the PCS team to contact the health board.

Check the form for the applicant's disclosure of any refusals, conditions, suspensions or removals from performers lists and note on the OOs performers list admission checklist.

Check the applicant's response to any sanctions, conditions or suspensions by the registration body, employer or other NHS body and if a declaration has been made note on the OOs performers list admission checklist

e) Appraisal

If the practitioner has had an appraisal outside of NHS England's appraisal scheme, ensure that the practitioner provides a copy of a statement summarising the appraisal or otherwise provides a copy of the last appraisal.

For OMPs check that the applicant has provided information relating to the appraisal/revalidation cycle (if applicable) and if not, that reasons have been given. Ensure that a copy of the last appraisal is provided as part of the application process. Note these details on the OOs performers list admission checklist.

Section 4 Communication skills

Verify the information provided by the applicant (see section 4: communication skills, in the national performers lists application form (NPL1)) with reference to the documents provided with the application. Note the findings on the OOs performers list admission checklist.

Section 5 Clinical references

If the applicant has provided NHS net email accounts for the referees, send a reference request (Annex D) to each of the two nominated persons via email from the section's generic NHS net account. Alternatively, post the requests first class or if abroad, by airmail. If posting overseas, ensure that the covering letter includes the required paragraph regarding proof of professional status.

If a referee does not have an NHS net email address the applicant and the referee must be informed that NHS England cannot guarantee that information transferred is secure in accordance with NHS England's information governance policy. If both the applicant and referee accept that the security of the information transferred cannot be guaranteed, this must be confirmed in writing (via email) by both parties and then the alternative email addresses provided may be used.

On the OO performers list admission checklist record the date the reference requests are sent and diarise to check in three weeks if replies have been received. If not, contact the referees again and follow up in seven days. If replies have still not been received, send another reminder and ask applicant for an alternative referee in order to begin the process again.

References received by post must be the original document and authenticated by the practice stamp or be written on letter headed paper.

References received by email or fax may be accepted provided the email security guidance is complied with (as stated above).

On receipt of the references, check the GOC registration of the referee. Print a copy of the entry (as per GOC registration check previously outlined) and attach to the reference to send to the medical director/RO when forwarding the application for consideration.

If the referee is from overseas, ensure proof of professional status has been received and attach to the reference when sending to the medical director/RO.

Update OO performers list admission checklist.

If the reference contains any information of note these should be noted on the OOs performers list admission checklist.

If the applicant is an ophthalmic pre-registration trainee then one of the references must be from pre-registration supervisor.

Normally two references should be provided by appropriate clinicians, referring to the applicant's recent work history and confirming that they have known the applicant in a professional capacity for a period of three months. However, if references do not relate to recent posts or for a period of at least three months employment, an explanation of why it is not possible to provide the required reference must be requested.

Occasionally an applicant may be unable to provide two recent clinical references. In this event, the application may be considered provided that the applicant has given a full explanation as to why this is the case and provided two alternative referees. A Performers List Decision making Panel (PLDP) will need to consider these applications on a case by case base to determine the applicants suitability to be included on the List. Clinical references must be submitted with the application using NHS England's standard reference template.

Section 6 Additional information

Review any additional information provided and note any significant comments on the OOs performers list admission checklist.

Section 7 Declarations

If the applicant has replied 'yes' to any of the conviction/investigation/disqualification questions in the declarations sections, these should be noted on the OOs performers list admission checklist.

6.6 Checks with fraud, litigation and other professional organisations (as required)

NHS Protect

- Email NHS Protect (Annex E) hsca@nhsprotect.gsi.gov.uk to check whether there are or have been investigations on the applicant. **This email MUST be sent from an NHS Net email account.**

NHS Protect will reply by email within three working days. If a reply is not received send a second request by e-mail set with high importance requesting an urgent reply or ring NHS Protect on 0191 204 6307 or Fax 0191 204 6320.

- Note outcome of the enquiry on the OOs performers list admission checklist.

NHS LA (FHSAU)

Access the NHSLA web service at www.fhsau.nhsla.nhs.uk

Log in and search using the applicants GOC number or GMC number for an OMP, surname and date of birth and print off a copy of any clear findings for the file. If there is anything to

report the NHS LA will email a response with a link from which the details can be accessed. These details may indicate if the performer:

- is the subject of a national disqualification
- has been refused admission or conditionally included
- has been removed
- is currently suspended from the NHS performers list.

Note the outcome of the enquiry on the OOs performers list admission checklist

6.7 Non-progressed applications

If the applicant withdraws their application or after three months, following the date of receipt of the application, the performer has failed to provide the necessary documentation, e.g. work permit, language certificate etc., the medical director/RO should be notified. The medical director/RO may disclose information about an applicant, should they deem this appropriate to those parties set out in The National Health Service (Performers Lists) (England) Regulations 2013, part 21 (1).

The medical director/RO will review the incomplete application and determine whether there is sufficient information to consider and determine the application, or whether PCS should invite the practitioner to supply additional/alternative information; or authorize the PCS service that it should notify the applicant that the application is closed and will not be proceeding (Annex F). This action should be recorded on the OO performers list admission checklist.

6.8 Sending the application to the medical director/RO

All details of the application must be noted on the OOs performers list admission checklist, which must be signed as complete and counter signed by the PCS section manager to confirm the process has been satisfactorily followed. The following information should then be sent electronically, from an NHS.net email account, to the medical director/RO's NHS.net email account or an appropriate designated NHS.net email account as directed by the medical director/RO.

The information sent **must** include:

- the completed and signed OOs performers list admission checklist;
- the completed application form;
- two clinical references;
- most recent appraisal (where appropriate); and
- any information where there is information of note.

The medical director/RO will review the information received, note their decision, sign and date

the OO performers list admission checklist accordingly.

Incomplete packs sent to the medical director/RO will be returned and not considered

On receipt of a decision PCS will inform the applicant as per Annex G and if a decision has been taken to conditionally include, refuse or defer the application, the Team will provide details for a suitable letter to be sent to the applicant. Once the applicant has been informed of the outcome this should be entered onto the medical performers / OO performers list admission checklist. Where the Team have agreed to issue the decision letter, a copy of the letter must be sent to PCS services.

Where the applicant has been included or conditionally included in the performers list, enter their details onto payments system and PCIS and update the OO performers list admission checklist including personal number.

Contact the Pension Agency to make them aware that the OMP could be undertaking NHS work.

On completion of the application process, all hard copy correspondence should be scanned, filed electronically as outlined on the OO performers list admission checklist and the hard copies should then be shredded or disposed of in the confidential waste.

7 Management of the performers list

7.1 Change of circumstance/status

A change to a performer's circumstances may come to the attention of the PCS service in a number of ways. This may be on receipt of a completed change notification form (NPL3), letter or email.

7.2 Processing a change of name

On receipt of a notification from the performer that they have changed their name, the PCS service will:

- send an acknowledgement letter to the performer confirming receipt of the notification of change if the change cannot be processed within five working days. (Annex H) and then proceed with the following checks. In circumstances where the change can be processed within five working days, an acknowledgement letter would not be required; and
- check GOC web site to ensure the change of name has been made on the performers registration.

If the change of name has been made by the GOC, save an electronic copy of the performer's

information displayed on the screen to the performer's file.

Update all relevant databases and directorates as appropriate and send a confirmation letter to the performer, stating that the change had been made. (Annex I)

If the change in name has **not** been made to the GOC registration details, then the template letter (Annex J) should be sent to the performer to advise that their details as held by NHS England cannot be changed until the change has been made by the GOC.

7.3 Processing a change of address

On receipt of a notification from the performer that they have changed their address the PCS service will update all relevant databases and directorates as appropriate and send a confirmation letter to the performer, stating that the change had been made. (Annex I)

7.4 Processing a change of status

On receipt of a notification from the performer that they have now qualified, the PCS service will:

- send an acknowledgement letter to the performer confirming receipt of the notification of change if the change cannot be processed within five working days. (Annex H) and then proceed with the following checks. In circumstances where the change can be processed within five working days, an acknowledgement letter would not be required; and
- check GOC web site to ensure that a change in status has been notified and made on the performers registration.

If the change of status has been made by the GOC, save an electronic copy of the performer's information displayed on the screen to the performer's file.

Update all relevant databases and directorates as appropriate and send a confirmation letter to the performer, stating that the change had been made. (Annex I)

If the change in status has **not** been made to the GOC registration details, then the PCS service should write to the performer to advise that their details as held by NHS England cannot be changed until the change has been made by the GOC. (Annex J)

7.5 Processing a transfer of practice within existing Team

On receipt of a notification from the performer that they are moving to another practice within their current Team's footprint, the PCS service will:

- send an acknowledgement letter to the performer confirming receipt of the notification that they are moving practice. (Annex K); and
- write to the current practice and new practice to seek confirmation as to end and start dates respectively. (Annex L)

Once confirmation has been received, note on the file and send a confirmation letter to the performer, stating that the change has been made. (Annex J)

7.6 Resignation and retirement

As detailed in the regulations, a performer must give three months' notice if they wish to withdraw from the performers list.

On receipt of a notification, the PCS service will:

- send an acknowledgement letter to the performer confirming receipt of the notification that they wish to be removed from the performers list. (Annex M); and
- write to the practice where the performer currently practises (if applicable) to seek confirmation of leaving date. (Annex L); and
- contact the medical director/RO to establish that there are no on-going performance issues.

If the PCS service receives confirmation from the medical director/RO that there are no on-going investigations or known reason to prohibit removal, the PCS service will write to the performer to confirm that they will be removed three months from the date of the notification.

Make a diary note for three months' time to check again with the medical director/RO to ensure nothing has changed in respect of performance issues and remove the performer from the performers list if informed same to do so.

Write to the performer to confirm that they have now been removed from the performers list. (Annex N)

If the medical director/RO advises that the performer is the subject of an outstanding matter covered in Regulation 20 the PCS service will inform the performer that they may not withdraw from the List until these matters are disposed of, or until the Secretary of State consents. If the performer requires further information they should be advised to contact the medical director/RO or Team case manager directly. (Annex O)

7.6 Death of a performer

On receipt of notification of the death of a performer, the PCS service will:

- escalate this information immediately to their head of section;
- inform the medical director/RO that the PCS Service has received this information; and
- await further instructions from medical director/RO.

7.7 Removal or suspension of those already on the performers list and inclusion with conditions or refusal to be admitted for those applying to join the performers list

The PCS service will be notified of any removals or suspensions by the Team and be sent a copy of any correspondence which has been sent to the performer. The PCS service will also be notified of any inclusions on the performers list with conditions or where the performer has been refused inclusion by the Team and be sent a copy of any correspondence which has been sent to the performer.

Where agreed with the Team, the PCS service will:

- write to advise the organisations as specified by regulation 18 of this change to the performers status (Annex Q); and
- write to the performer to advise the specified organisations have been notified enclosing a copy of the letter that has been sent. (Annex R)

As the performer has 28 days in which to appeal the Team decision, the PCS service will make a diary entry to contact the medical director/RO in 28 days to ask if an appeal has been made. If an appeal has been made, no action is to be taken until further advice received.

If an appeal is made, the PCS service should update the databases and confirm by email to relevant departments who must be notified that an appeal has been upheld or a decision has been overturned.

7.8 Transfers between regional teams

Notification of a performer leaving one Team and joining another may come to the attention of the PCS service in a number of ways. For example, a completed change notification form (NPL2), by telephone call, letter or email.

A transfer can also be instigated by a Team in order to align a performer with the most appropriate Team where their contracts are held. This will assist in the alignment of contractual issues and performance issues being managed by the same Team.

On receipt of a notification that a performer wishes to move to their area, or is notified by the Team that a transfer is required, the PCS service will:

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- ensure the performer has completed a change notification form (NPL2); and
- open a transfer check list (Annex R)

Write to the performer's responsible Team and request that they:

- complete the declaration form, attaching this for completion (Annex S) (making a diary entry to check its return in two weeks (note this on the check list);
- send a copy of the performers original application to join the performers list (if available);
- send a PCIS performers screenshot; and
- send a copy of the ophthalmic performers list admission checklist that contains the signatures of the administrator, section manager and medical director/RO responsible for processing the original application, recognising that this may not be available for transfers of performers processed prior to the checklist being implemented.

All documents **must** be sent electronically from and to NHS.net accounts only.

If there is any information of note in respect of the performer, the PCS service should advise the medical director/RO immediately. This action is simply to inform the medical director/RO and must not delay the transfer process. Transfer to a new Team cannot be refused.

Once all documentation received:

- add the performer to the payments system and the PCIS;
- write to the existing Team to advise them of the date on which the performer will transfer to the new Team and request that they "end" the performers on the day before. (Annex T);
- write to the performer (Annex U) to advise that they have been transferred providing a 'with effect from' date and send a copy of this correspondence to the medical director/RO with a copy of the declaration received from the previous Team; and
- file all correspondence electronically as outlined on the transfer checklist – in the event that hard copy correspondence is received this should be scanned and then be shredded or disposed of in the confidential waste.

7.9 Actions required by the PCS service that the performer is currently aligned to, when notification is received that a performer is moving to a new NHS England Team:

The PCS service will:

- open a transfer check list (Annex R);
- enter the date of inclusion that the performer joined the performers list on the declaration request received by the requesting Team; and
- send the declaration to the medical director/RO for completion with a request that the completed declaration is emailed to the requesting Team as indicated on page two.

While the declaration is being completed by the medical director/RO, the PCS service must email the documents requested by the new Team. This must take place within two weeks of the request and all documents must be sent electronically from and to NHS.net accounts.

When the new Team confirms the performer has been transferred, the PCS service must “end” the performer on the payments system and PCIS or diarise for this to take place as instructed.

Any hard copy documentation held should be scanned and filed electronically as outlined on the transfer checklist – all hard copy correspondence should then be shredded or disposed of in the confidential waste.

8 Monitoring and review of procedure note

8.1 Monitoring arrangements

The SOP has been reviewed in conjunction with the Framework for Managing Performer Concerns and the Performer Lists Regulations 2013.

8.2 Equality impact assessment

This document forms part of NHS England’s commitment to create a positive culture of respect for all staff and service users. The intention is to identify, remove or minimize discriminatory practice in relation to the protected characteristics (race, disability, gender, sexual orientation, age, religious or other belief, marriage and civil partnership, gender reassignment and pregnancy and maternity) as well as to promote positive practice and value the diversity of individuals and communities.

As part of its development this document and its impact on equality has been analysed and no detriment identified.

8.3 Associated documents

The policy should be read in conjunction with:

- Framework for managing performer concerns

- Prescribed connections to NHS England
- NHS England's confidentiality and information governance policies.
- National Health Service (Performers Lists) (England) Regulations 2013.

8.4 References

- National performers lists application form - <http://www.england.nhs.uk/joint/>
- Standard operating procedure for primary care support – medical and dental
- Framework for managing performer concerns
- NHS England performers lists change notification form – movement between Teams (NPL2)
- NHS England performers lists change notification form – change of status (NPL3)

Annex A: Abbreviations and acronyms

A&E	Accident and emergency
APHO	Association of Public Health Observatories (now known as the Network of Public Health Observatories)
APMS	Alternative Provider Medical Services
AUR	Appliance use reviews
BDA	British Dental Association
BMA	British Medical Association
BSA	Business Service Authority
CCG	Clinical commissioning group
CD	Controlled drug
CDAO	Controlled drug accountable officer
CDO	Chief Dental Officer
CGST	NHS Clinical Governance Support Team
CIC	Community interest company
CMO	Chief medical officer
Contractor	The term contractor means pharmacy contractors and dispensing appliance contractors (DACs) included in the pharmaceutical list as currently there are no equivalent lists for individual pharmacists or DAC performers.
COT	Course of treatment
CPAF	Community pharmacy assurance framework
CPD	Continuing professional development
CQC	Care Quality Commission
CQRS	Calculating Quality Reporting Service (replacement for QMAS)
DAC	Dispensing appliance contractor
Days	Calendar days unless working days is specifically stated
DBS	Disclosure and Barring Service
DDA	Disability Discrimination Act
DES	Directed enhanced service

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DH	Department of Health
EEA	European Economic Area
ePACT	Electronic prescribing analysis and costs
ESPLPS	Essential small pharmacy local pharmaceutical services
EU	European Union
FHS	Family health services
FHS AU	Family health services appeals unit
FHSS	Family health shared services
FPC	Family practitioner committee
FTA	Failed to attend
FTT	First-tier tribunal
GDP	General dental practitioner
GDC	General Dental Council
GDS	General Dental Services
GMC	General Medical Council
GMS	General Medical Services
GOC	General Optical Council
GOS	General Ophthalmic Services
GP	General practitioner
GPES	GP Extraction Service
GPhC	General Pharmaceutical Council
GSMP	Global sum monthly payment
HR	Human resources
HSE	Health and Safety Executive
HWB	Health and wellbeing board
IC	NHS Information Centre
IELTS	International English Language Testing System
KPIs	Key performance indicators

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LA	Local authority
LDC	Local dental committee
LETB	Local education and training board
LIN	Local intelligence network
LLP	Limited liability partnership
LMC	Local medical committee
LOC	Local optical committee
LPC	Local pharmaceutical committee
LPN	Local professional network
LPS	Local pharmaceutical services
LRC	Local representative committee
MDO	Medical defence organization
MHRA	Medicines and Healthcare Products Regulatory Agency
MIS	management information system
MPIG	minimum practice income guarantee
MUR	medicines use review and prescription intervention services
NACV	negotiated annual contract value
NCAS	National Clinical Assessment Service
NDRI	National Duplicate Registration Initiative
NHAIS	National Health Authority Information System (also known as Exeter)
NHS Act	National Health Service Act 2006
NHS BSA	NHS Business Services Authority
NHS CB	NHS Commissioning Board
NHS CBA	NHS Commissioning Board Authority
NHS CfH	NHS Connecting for Health
NHS DS	NHS Dental Services
NHS LA	NHS Litigation Authority
NMS	new medicine service

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NPE	net pensionable earnings
NPSA	National Patient Safety Agency
OJEU	Official Journal of the European Union
OMP	ophthalmic medical practitioner
ONS	Office of National Statistics
OOH	out of hours
PAF	postcode address file
PALS	patient advice and liaison service
PAM	professions allied to medicine
PCC	Primary Care Commissioning
PCT	primary care trust
PDS	personal dental services
PDS NBO	Personal Demographic Service National Back Office
PGD	patient group direction
PHE	Public Health England
PLDP	performers' list decision panel
PMC	primary medical contract
PMS	Personal Medical Services
PNA	pharmaceutical needs assessment
POL	payments online
PPD	Prescription Pricing Division (part of NHS BSA)
PSG	performance screening group
PSNC	Pharmaceutical Services Negotiating Committee
PSU	Primary Care Support Unit
PSU	Professional Services Unit (Deanery)
QOF	quality and outcomes framework
RCGP	Royal College of General Practitioners
RO	responsible officer

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SEO	social enterprise organisation
SFE	statement of financial entitlements
SI	statutory instrument
SMART	specific, measurable, achievable, realistic, timely
SOA	super output area
SOP	standard operating procedure
SPMS	Specialist Personal Medical Services
SUI	serious untoward incident
The 2005 Regulations	The NHS (Pharmaceutical Services) Regulations 2005, as amended
The 2012 Regulations	The NHS (Pharmaceutical Services) Regulations 2012, as amended
The 2013 Directions	The Pharmaceutical Services (Advanced and Enhanced Services) (England) Directions 2013
The 2013 Regulations	The NHS (Pharmaceutical Services and Local Pharmaceutical Services) Regulations 2013
UDA	unit of dental activity
UK	United Kingdom
UOA	unit of orthodontic activity

Annex B: OOs performers list admission checklist and medical director/RO cover sheet

<Insert date application received>

Name of performer: _____

Country of birth: _____ Date of birth: _____

Address: _____

Check GOC registration: _____ Date first registered: _____

Date of full registration: _____ GOC registration number: _____

Any conditions applied: _____

For OMPs only

Check GMC registration: _____ Date first registered: _____

Date of full registration: _____ GMC Reg No: _____

Any conditions applied: _____ OQC Number: _____

Potential Start Date: _____ Practice due to join: _____

Application and other forms:	Received (and copied)	Comments	Complete/ satisfactory
Application form received (fully completed and signed)			
Documents – DBS fee, application form and consent supplied or			
Documents – DBS certificate, consent supplied and online registration			
Documents – police check or certificate of good standing (if applicable)			
Documents – photo ID (e.g. passport/driving licence) – record issue number		Issue number _____	
Documents – detailed CV			
Documents – OMPs only - most recent appraisal (if available)			
Documents – appropriate membership of defence organisation (indemnity)		Date from: Date to:	
Documents – graduation certificate or accepted language test			

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References:		Date requested	Date received/ checked	Comments	Satisfactory
DBS applied for or checked (whichever is appropriate)					
Scotland/Wales/NI declaration (if needed)					
Clinical reference 1	GOC/GMC No. of referee verified?				
Clinical reference 2	GOC/GMC No. of referee verified?				

Other checks:		Date requested	Date received/ checked	Comments	Satisfactory
Professional body registration					
Licence to practise – For OMPs only					
OQC Number – For OMPs only					
NHS Protect					
NHS Litigation Authority (FHS appeal unit)					
NCAS					

	Yes	No	Comments	Satisfactory
Are breaks in service satisfactorily explained				

Administrator sign off

Name: _____

Signature: _____ Date: _____

Section manager sign off

Name: _____

Signature: _____ Date: _____

Application form, references, appraisal if applicable and **any other information of note** plus this sheet sent via NHS.net account to medical director on: Date: __

Information of note – concerns raised: Yes/No

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All information of note to be included within pack sent to medical director/RO

Decision of medical director/RO: Approved/Not approved
(details to be provided)

Conditional inclusion (details to be provided) Deferment of decision
(details to be provided)

Name: _____

Signed: _____ Date: _____

Applicant informed of outcome: approved/not approved/Inclusion with conditions/deferment of decision/non progressed

Details entered onto payments system/PCIS: _____

Pensions (OMPs only): _____

Update any internal documentation as required

General information for the primary care support service

Countries where the first and native language is English. Please note that first and native language is not the same as official language.

- Australia
- Bermuda
- British Virgin Islands
- Canada
- Guyana (formerly the colony of British Guiana)
- Ireland
- New Zealand
- South Africa
- Singapore
- United Kingdom
- US Virgin Islands
- United States of America
- The following Caribbean Islands:
 - Antigua and Barbuda
 - Bahamas
 - Barbados
 - Grenada
 - Jamaica
 - St Vincent
 - Grenadines

- St Lucia
- St Kitts and Nevis
- Dominica
- Anguilla
- Trinidad and Tobago

‘Information of note’ could relate to (this list is not exhaustive):

- Professional details – gaps in service, regulatory body registration
- DBS certificate
- English language
- Declarations from Scotland, Wales or Northern Ireland health boards
- Declarations in application form
- Responses from NHS Protect, NHSLA
- Certificates of good standing or police checks

The primary care support service should take every opportunity to encourage performers to set up an NHS.net account if you are aware that they do not have one. Note: actual set up of the account is the performers responsibility and is not for the PCS service to undertake. When electronically filing performer correspondence, set up the folder as follows:

An electronic folder should be created in the performers name by using surname, forename and

GOC number e.g. blogs joe 1234567

Within this folder, three sub folders should be created as follows:

- Transferable documents
- Documents supporting the application
- General correspondence

Annex C: Letter and declaration to be sent if performer has a concurrent live entry on a Scotland, Northern Ireland or Wales list

Tel:

Fax:

<date>

Please ask for <Name of Sender>

Our Ref:

Dear <Organisation Contact>

<Name of applicant> <GOC/GMC number>

The above-named has submitted an application to join England's ophthalmic performers list.

The National Health Service (Performers Lists) (England) Regulations 2013 provides for requests to be made to any current or former employer including licensing, regulatory or other bodies in the United Kingdom or elsewhere for information relating to a current investigation where there was information of note.

The applicant has given consent to allow us to make a request for information, a copy of which is enclosed.

Could you please complete the attached declaration and return it to <sender organisation> at your earliest convenience.

If you have any queries regarding this matter, please do not hesitate to contact <name of sender> on the above telephone number.

Yours sincerely

<Insert name>

<Insert title>

Declaration

Re : <Name of applicant> GOC/GMC No.

Please read the following questions carefully and respond accordingly.

If you answer yes to any of the following questions, please supply full details.

Is the above named ophthalmologist currently the subject of any investigation that could result in their removal from the ophthalmic performers list?	Yes/No
If no, have they ever been the subject of such an investigation?	Yes/No
Has the above named ophthalmologist ever been refused admission to or been conditionally included in, from the ophthalmic performers list?	Yes/No
Date of inclusion on the ophthalmic performers list	
Date of removal from the ophthalmic performers list (if applicable)	

Appraisal OMPs only: appraisal and revalidation

If the OMP has recently qualified from registrar training and is not yet eligible for appraisal, please provide the date their appraisal will be due.	Date:
Please list the dates of any appraisals undertaken or grounds for exemption	
Please provide the date of next revalidation and date of any undertaken previously	

Any further information deemed appropriate to disclose in respect of this application

Signed _____ Date _____

Print full name _____

Position _____

Name and address of your organisation _____

Telephone number _____

Email address _____

Please return to: <name of sender>, <address of sender>, <fax number>

Annex D: Sample letter and standard clinical reference form to be used

Tel:

Fax:

<date>

Please ask for <name of sender>

Our ref:

Dear <organisation contact>

Clinical reference for <insert name>

<insert name> has applied for inclusion to the NHS Ophthalmic Performers List (England) as a <insert status>.

Under the regulations it is required that two clinical references are obtained in respect of the last two recent posts undertaken by the applicant. <insert name> has given your name as one of the clinical referees. This ophthalmologist cannot be included in the National Health Service performers list until the references are received and approved.

Please find attached a clinical reference form which I would be grateful if you could complete and return to me as soon as possible.

Under the remit of the Data Protection Act 1998, any information provided by you in the reference is deemed confidential and will not be communicated to the applicant without your written consent. Please be advised that you **may** be contacted by the medical directorate to verify completion of the reference.

Section to be included for overseas referees only

It is standard practice for NHS England to verify the professional status of all referees and therefore I would be grateful if you would supply a copy of your entry on your professional register, translated into English, if appropriate.

With thanks for your assistance in this matter.

Yours sincerely

<insert name>

<insert title>

Clinical reference – ophthalmic

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This professional reference should verify factual information and comment on the strengths and weaknesses of the applicant as an indicator of his/her suitability for appointment. This is not a personal testimonial but an objective assessment of competencies.

Please note that we require a clinical reference relating to a recent post, which has lasted at least three months without a significant break.

When providing references for colleagues, your comments must be honest and justifiable; you must include all relevant information which has a bearing on the colleague's competence, performance, reliability and conduct.

Applicant's name			
GOC/GMC number			
Please state the dates the applicant worked with you:			
Date started:		Date finished:	
Position held:		Practice/Hospital	
Was the applicant subject to any disciplinary procedure, formal or otherwise, during their time with you?			
Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, please give details	

Please give your opinion regarding the applicant's present knowledge, skills and personal attributes by ticking the appropriate boxes on the next three pages. Statements are provided to give examples of behaviours that would constitute different levels of performance, though this is not intended to be an exhaustive list. Please use the space provided to give examples of the applicants behaviour that support the rating you have given them in each area, this is **essential if you have given a rating of 1 or 2**.

Clinical expertise: Capacity to apply sound clinical knowledge and an awareness of the need to fully investigate problems. Makes clear, sound and proactive decisions, reflecting good clinical judgement.			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Cause for concern	Weak	Satisfactory	Good to excellent
Comments/evidence:			

Communication skills: Capacity to adjust behaviour and language (written/spoken) as appropriate to needs of differing situations. Actively and clearly engages patient (and colleagues) in equal/open dialogue			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Uses technical language that patients do not understand, ignores what they have to say	Can be lacking in clarity and coherence when speaking to patients	Often uses lay language to help patients understand	Always speaks clearly, gives adequate time and checks patients understand
Comments/evidence:			
Empathy and sensitivity: Capacity and motivation to take in patient/colleague perspective, and sense associated feelings. Generates safe/understanding atmosphere. An understanding approach			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Is not sensitive to the feelings of patients and treats them in an impersonal manner	Shows some interest in the individual and occasionally reassures patients	Usually demonstrates empathy towards patients	Always shows empathy and sensitivity, gives reassurance to the patient
Comments/evidence:			
Problem-solving skills: Capacity to think/see beyond the obvious, analytical but flexible mind. Maximises information and time efficiently, and creatively			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Misses minimal cues and symptoms, lets assumptions guide diagnosis	Often relies on surface information and doesn't probe deeper	Usually thinks beyond surface information, picks up on cues/minimal symptoms	Thinks beyond surface information and gets to the root cause
Comments/evidence:			
Organisation and planning: Capacity to organise information in a structured and planned manner, think ahead, prioritise conflicting demands, and build contingencies. Meets deadlines			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Is always late for meetings/deadlines and unable to prioritise tasks	Is often late for meetings and deadlines and disorganised with paperwork etc.	Usually able to prioritise tasks and organise paperwork	Excellent at managing time and prioritising tasks
Comments/evidence:			
Learning and development: Ability to identify own learning and development needs, commits time and resources to appropriate training and development activities.			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Reacts badly to constructive criticism or feedback, not interested in own development	Needs assistance in identifying own training needs/developing personal targets	Often learns from experience, generally reacts well to constructive criticism	Actively seeks out and welcomes constructive criticism/feedback

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Comments/evidence:			
Team involvement: Collaborative style, works with colleagues in partnership, able to compromise. Undertakes leadership role if required. Provides support, views self as part of larger organisation			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Sticks rigidly to their own agenda and doesn't negotiate	Tends to take a 'back seat' rather than participating	Good at negotiating and usually able to compromise	Is excellent at supporting and motivating others and at negotiating
Comments/evidence:			
Ability to deal with pressure: Capacity to put difficulties into perspective, retaining control over events. Aware of own strengths/limitations, able to "share the load".			
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
Can be irrational under pressure	Finds it difficult to share workload with others.	Often recognises when to share workload, usually remains calm under pressure	Remains calm under pressure at all times, recognises when to share work load,
Comments/evidence:			

Was their attendance/timekeeping satisfactory?		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, please give details:
This reference is based upon (tick as appropriate):		
Opinion of Consultant/Trainer	a <input type="checkbox"/>	
Close observation	b <input type="checkbox"/>	
Opinion of Employer	c <input type="checkbox"/>	
General Impression	d <input type="checkbox"/>	
Would you be happy to work with this ophthalmologist again?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If you have any other comments regarding this applicant and his/her application for this post, please give details here:		

Signature		Name (print in block capitals)	
Position held		Contact telephone number	
GOC number (of referee)		Date	
Email address			

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It is **essential** that this form is stamped with **an official hospital or practice stamp**. If no stamp is available, please attach a compliment slip signed by the consultant or GP providing the reference. Forms received without a stamp or a signed compliment slip will be returned.

Delays in the receiving references can result in the applicant being prevented from working under the terms of the Performers List Regulations.

Contact address
Please print clearly or stamp

Thank you for completing this reference.
Please return this form to: <insert contact details>

Annex E: NHS Protect and NCAS checks

Sample email

Dear colleague,

I would be grateful if you would carry out all necessary checks on the individual detailed below:

Surname	First name	Date of birth	Profession	Reg No	Home address
<i>Insert details as appropriate</i>					

Please email response to: (insert as appropriate or delete if not required)

Annex F: Non progressed application – sample letter to inform performer

Tel:

Fax:

<date>
Our ref:

Dear <name of performer>

Non-progressed application for inclusion on the ophthalmic performers list

Three months have passed since we received your application for inclusion on the ophthalmic performers list. In this time you have not provided the necessary documentation required for NHS England to determine your application.

On <insert date> we reminded you of the need to provide this information, but no response has been received. Consequently your application has been closed and no further action will be taken.

Yours sincerely,

<insert name>

<insert title>

Cc: medical director/RO

Annex G: Sample letter of inclusion onto the medical performers list

Tel: Fax:

<date>
Our ref:

Dear <name of performer>

Ophthalmic performers list

I am pleased to confirm that your name is now included on the ophthalmic performers list with effect from <insert date>.

Your performer's list number is shown below. This number should be shown on your NHS sight test claims from the above date.

Status	
Team	
Performer list number	

Please note that if you intend to withdraw from the above list you are required to give **three months notice** in writing unless impracticable to do so.

It is a requirement that you give the primary care support (PCS) service on behalf of the NHS Commissioning Board (herein after known as NHS England), 28 days written notice of any changes in your permanent address or personal details. It is also a requirement that you notify the PCS service, on behalf of NHS England of any criminal offence of which you are charged, any new investigations into professional practice by a regulatory, licensing, other body, or an investigation by the NHS Counter Fraud & Security Management Services **within seven days** of the event.

Please keep this letter safe, as you may need to refer to it at a later date.

Yours sincerely

<insert name>

<insert title>

Cc: medical director

Annex H: Sample acknowledgement letter – change of name, status – only required if the change cannot be processed within five working days

Tel:

Fax:

<date>

Our ref:

Dear <name of performer>

I write to acknowledge receipt of your email/letter/change notification form date <insert date> informing us that you have changed your name/status from <insert name/status> to <insert name/status>.

This change will be processed as soon as possible and we will write to you again once the change has been made.

Yours sincerely

<insert name>

<insert title>

Annex I: Sample confirmation letter – change of name, address or status

Tel:

Fax:

<date>

Our ref:

Dear <name of performer>

Ophthalmic performers list

I am pleased to confirm that your <insert as appropriate> on the ophthalmic performers list has changed to that shown below, with effect from

Name, address, status	
GOC number	
First registration date with GOC	
Team	

Please note that if you intend to withdraw from the above list you are required to give **three months notice** in writing unless impracticable to do so.

It is a requirement that you give the primary care support (PCS) on behalf of the NHS Commissioning Board (herein after known as NHS England), 28 days written notice of any changes in your permanent address or personal details. It is also a requirement that you notify the PCSS, on behalf of NHS England of any criminal offence of which you are charged, any new investigations into professional practice by a regulatory, licensing, other body, or an investigation by the NHS Counter Fraud & Security Management Services **within seven days** of the event.

Yours sincerely

<insert name>

<insert title>

Annex J: Sample letter to performer informing that the requested change cannot be made

Tel:

Fax:

<date>

Our ref:

Dear <name of performer>

Ophthalmic performers list – change of name/status

Thank you for your email/letter/change notification form dated <insert date> informing us that you have changed your name/status from <insert name/status> to <insert name/status>.

We have checked the GOC website which still cites your name as <insert name> and therefore we are unable to make this change at the present time. Please ensure that you inform the

GOC of this change and once it has been changed on their register, you should contact us again and we can then make the necessary change to your entry on the performers list.

Please do not hesitate to contact me if you have any queries.

Yours sincerely

<insert name>

<insert title>

Annex K: Sample acknowledgement letter – performer wishing to move practice within their existing Team

Tel:

Fax:

<date>

Our ref:

Dear <name of performer>

I write to acknowledge receipt of your email/letter/change notification form date <insert date> informing us that you are changing practice and will be working at <insert practice name>.

Once we have received confirmation from your current practice and new practice of your end and start dates respectively, we will process this change within our systems.

Yours sincerely

<insert name>

<insert title>

Annex L: Sample letter to practice/s requesting confirmation of start or leaving dates

Tel:

Fax:

<date>

Our ref:

Dear <organisation contact>

Re: Dr <insert name>

I am writing to request confirmation that <insert name> will be leaving/joining your practice on <insert date>.

I would be very grateful if you would provide email confirmation to <insert email> that this information is correct.

If you should require any further information please do not hesitate to contact me.

Yours sincerely

<insert name>

<insert title>

Annex M: Sample acknowledgement letter – confirming receipt of wish to be removed

Tel:

Fax:

<date>
Our Ref:

Dear <name of performer>

Withdrawal from the ophthalmic performers list

I write to acknowledge receipt of your email/letter/change notification form date <insert date> informing us that you wish to be removed from the performers list giving three months notice. Once confirmation has been received from the medical director/RO that you may be removed from the performers list, I will write again to confirm your end date on the performers list.

You may, in writing, withdraw your notice at any time prior to the date of removal, once this is confirmed.

Yours sincerely

<insert name>

<insert title>

Annex N: Sample letter to performer informing that they have been removed from the performers list

Tel:

Fax:

<date>

Our ref:

Dear <name of performer>

Withdrawal from the ophthalmic performers list

Thank you for your notice to withdraw from the ophthalmic performers list under regulation 19(2) National Health Service (Performers List) (England) Regulations 2013.

I confirm that your name has been withdrawn from the ophthalmic performers list with effect from <insert date>.

May I remind you that from this date you will no longer be able to work as an NHS ophthalmic practitioner in a practice or for an out of hours service provider unless you apply and rejoin the NHS England ophthalmic performers List.

Yours sincerely

<insert name>

<insert title>

Annex O: Sample letter to performer informing that they cannot be removed at the present time

Tel:

Fax:

<date>

Our ref:

Dear <name of performer>

Withdrawal from the ophthalmic performers list - restriction

I write further to my letter dated <insert date> regarding your request to be removed from the performers list. I have been informed by the medical director/RO that there are currently issues that are being considered by the Team that may result in your removal from the performers list being delayed. Until these issues have been resolved, it is not possible to remove you from the performers list.

If you require any further information regarding this matter, please contact:

<insert name>

<insert contact details>

Yours sincerely

<insert name>

<insert title>

Annex P: Sample letters to organisations – notification under regulation 18

Tel:

Fax:

<date>

Our ref:

Dear <organisation contact>

Notification under regulation 18 NHS (Performers lists) (England) regulations 2013

Name:

Address:

Postcode:

Date of birth:

Registration number:

As you are aware, the NHS Commissioning Board (herein known as NHS England) is obliged by Regulation 18 of the NHS (Performers Lists) (England) Regulations 2013, to advise certain organisations of any action taken under those regulations.

NHS England has recently taken a decision to

<delete as appropriate>

- refuse to include a practitioner in a performers list on the grounds referred to in regulation 7(1), 27(1), 34(1) or (2) or 40(1);
- impose conditions under regulation 10 or 12;
- vary conditions or impose new conditions under regulation 11;
- suspend a practitioner from a performers list under regulation 12; or
- remove a practitioner from a performers list under regulation 11(1)(c), 14 or 17(6)(b)

in respect of the above named performer. I have enclosed a copy of the notice issued to the practitioner, which details the regulations under which the action was taken and the reasons it was considered necessary.

Should you have any queries or concerns regarding this notification, please do not hesitate to contact me.

Yours faithfully

<insert name>

<insert title>

Enc: copy of practitioner's enactment letter

Tel:

Fax:

<date>

Our ref:

Dear <organisation contact>

Notification under regulation 18 NHS (Performers lists) (England) regulations 2013

Name:

Address:

Postcode:

Date of birth:

Registration number:

As you are aware, NHS England is obliged by Regulation 18 of the NHS (Performers Lists) (England) Regulations 2013 to advise certain organisations of any action taken under those Regulations.

I notified you on <insert date> that NHS England had made the decision to <insert as appropriate> the above practitioner in the ophthalmic performers list. Following a review, NHS England has decided to remove the conditions attached to this listing.

Please note that the conditions were removed with effect from <insert date>

Should you have any queries or concerns regarding this notification, please do not hesitate to contact me.

Yours faithfully

<insert name>

<insert title>

Regulation 18 notification addresses

<p><u>SECRETARY OF STATE</u> The Chief Executive NHS Litigation Authority 2nd Floor 151 Buckingham Palace Road London, SW1W 9SZ</p>	<p><u>NCAS</u> National Clinical Assessment Service Case Management Team - Area 1C Skipton House 80 London Road London SE1 6LH</p>
<p><u>SCOTLAND</u> Gary MacDonald (for Medical) Elizabeth McLear (for Dental & Ophthalmic) Scottish Executive Health Department St Andrews House Regent Road Edinburgh EH1 3DG</p>	<p><u>ONLY IF A FRAUD CASE -</u> NHS Business Services Authority Finance Department Room 154 Hesketh House 200-220 Broadway Fleetwood Lancashire FY7 8LG</p>
<p><u>WALES</u> Notification Clerk Community, Primary Care and Health Services Policy Welsh Assembly Government Cathays Park Cardiff, CF10 3NQ</p>	<p><u>GOC</u> General Optical Council Fitness to Practise Directorate 41 Harley Street London W1G 8DJ</p>
<p><u>NORTHERN IRELAND</u> The Chief Executive – N.I. Executive Primary Care Directorate Dept. of Health, Social Services & Public Safety Room D3 Castle Buildings Upper Newtownards Road Belfast, BT4 3SQ</p>	<p><u>PAST/CURRENT or POTENTIAL EMPLOYER/S</u> and/or <u>A PARTNERSHIP WHERE INVOLVED AS A PAST/CURRENT OR POTENTIAL PARTNER</u></p>
<p><u>NHSLA</u> Emailed to: fhsau@nhsla.com NHS Litigation Authority Family Health Services Appeal Unit 1 Trevelyan Square Boar Lane Leeds, LS1 6AE</p>	<p><u>IF STILL A PRE REGISTRATION TRAINEE –</u> Contact the deanery to which the performer is attached</p>
<p><u>GMC (if OMP)</u> General Medical Council Fitness to Practise Directorate 7th Floor, St James's Buildings 79 Oxford Street Manchester, M1 6FQ</p>	

Annex Q: Sample letter to performer of notification under regulation 18

Tel: Fax:

<date>
Our ref:

Dear <name of performer>

Notice of intended <insert as appropriate> under National Health Service (Performers Lists) (England) Regulations 2013

Further to the letter that you have received in which you were informed of NHS England's decision to <insert as appropriate>, I am now writing to inform you that NHS England is also required under paragraph 18(2) of the NHS (Performers Lists) (England) Regulations 2013, to notify other organisations that this action has been taken.

When doing so the regulations state that NHS England shall send to the practitioner concerned a copy of the information about them provided to those organisations listed in regulation 18(2) and I am therefore enclosing copies of those letters.

Yours sincerely

<insert name>
<insert title>

Encl. copy of the information sent to those organisations listed in regulation 18(2)

Annex R: Checklist for performer's transfer of Team

<Insert date transfer request received>

Name of performer:.....
 Country of birth:..... Date of birth.....
 Address:

 Profession:..... Status:.....
 Conditions:..... Prof register checked:.....
 Date first registered:..... Date of full registration:.....
 Registration number:.....

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Practice:.....
 Code:..... Tel no:
 Key contact:..... Potential start date:

New Team:	Date	Comments
Notification of transfer received		
Checklist created		
Performer asked to complete NP2		
NP2 received		
Declaration sent to previous Team and documents requested		
Declaration received		
Documents received – application form (where available)		
Documents received – performers application checklist (where		
Documents received – performers PCIS screenshot		
Reminder sent if declaration and documents not received within two		
Sent to medical director/RO if any information of note		
Instructions received from medical director/RO		
Performer added to payments system		
Performer added to PCIS		
Confirmation of transfer sent to performer (copy to medical director/RO)		
Confirmation of transfer sent to previous Team		
Internal notification sent (as appropriate)		
Current/previous Team:	Date	Comments
Declaration and document request received		
Date of inclusion inserted in declaration		
Declaration sent to medical director/RO		
Documents sent to new Team (within two weeks)	Application form (where	
	Performers application checklist	
	PCIS screenshot	
Ended on payments system		

Signed:..... Date:..... Administrator Name:.....
 Signed:..... Date:..... Section manager name:.....

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up an NHS.net account if you are aware that they do not have one. Note: actual set up of the account is the performers responsibility and is not for the PCS service to undertake. When electronically filing performer correspondence, set up the folder as follows:

An electronic folder should be created in the performers name by using surname, forename and

GOC number e.g. blogs joe 1234567

Within this folder, three sub folders should be created as follows:

- Transferable documents
- Documents supporting the application
- General correspondence

Annex S: Sample letter and declaration to be sent to Team to which the performer is currently aligned for completion and electronic transfer of documentation

Tel:

Fax:

<date>

Our ref:

Dear <organisation contact>

<Insert performer name and GOC number>

The above named performer has notified us of their intention to provide services in the area covered by the NHS England <insert region> (<insert DCO team>) with effect from <insert date>.

According to the information supplied, they are included in the medical performers list practising within your geographical area of responsibility.

Please would you arrange for the medical director/RO at the Team to complete the enclosed declaration and return it to this office as quickly as possible.

Please will you also email electronic copies of:

- the performers original application to join the performers list (where available);
- a PCIS performer screen print; and
- the medical performers list admission checklist that contains the signatures of the administrator, section manager and medical director/RO responsible for processing the original application (where available)

This information should be emailed from an NHS net account to <insert receiving NHS net account address>.

If you have any queries regarding this matter, please do not hesitate to contact <insert name of sender> on the above telephone number.

Yours sincerely

<insert name>

<insert title>

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Declaration

Re :- <name of applicant> GOC number <insert>

Please read the following questions carefully and respond accordingly.

If you answer YES to any of the following questions, please supply full details below or on a separate page.

Is the above named ophthalmologist currently the subject of any investigation that could result in their removal from the ophthalmic performers list?	Yes/No
If no, have they ever been the subject of such an investigation?	Yes/No
Has the above named ophthalmologist ever been refused admission to or been conditionally included in, or suspended from the ophthalmic performers list?	Yes/No
Date of inclusion on the ophthalmic performers list	
Date of removal from the ophthalmic performers list (if applicable)	

Appraisal OMPs Only: Appraisal and revalidation

If the OMP has recently qualified from registrar training and is not yet eligible for appraisal, please provide the date their appraisal will be due.	Date:
Please list the dates of any appraisals undertaken or grounds for exemption	
Please provide the date of next revalidation and date of any undertaken previously	

Any further information deemed appropriate to disclose in respect of this application

Signed _____ Date _____

Print full name _____

Position _____

Name and address of your organisation _____

Telephone number _____

Email address _____

Please return to: <name of sender>, <address of sender>, <fax number>

Annex T: Sample letter to previous NHS England Team requesting for performer to be 'ended' on their system

Tel:

Fax:

<date>

Our ref:

Dear <organisation contact>

<insert performer name and GOC number>

Please note from the attached copy letter that we have successfully completed the transfer of the above-named performer to NHS England <insert region> <insert DCO team> with effect from <insert date>.

Please would you take steps to end the performer on your NHAIS system with effect from

<insert date one day before transfer> to ensure that there are no duplicate entries on the performers list.

If you require any further information, please do not hesitate to contact <insert name of sender> at the above address.

Yours sincerely

<insert name>

<insert title>

Encl: copy of performer transfer confirmation

Annex U: Sample letter to performer informing that they have been transferred

Tel:

Fax:

<date>

Our ref:

PLEASE KEEP THIS LETTER SAFELY WITH YOUR OTHER REGISTRATION CERTIFICATES

Dear <name of performer>

Ophthalmic performer list – transfer of Team

I am pleased to advise you that your transfer to NHS England <insert region> <insert DCO team> is now complete. With effect from <insert date>, your list entry will show your status as that of a <insert as appropriate> at the <insert practice name and address as appropriate>.

The National Health Service (Performers List) (England) Regulations 2013 allow for the movement of performers without the need for fresh application. However, the regulations provide that a performer must inform NHS England within 28 days if any of their details change. These changes can include:

- changes to the locality where the performer works;
- changes to personal details;
- potential changes to the occupational health status; and
- factors that could impact on inclusion to the performer list

If you join a new practice, move to a new area or wish to change the status of your inclusion in the list, it will be necessary for you to complete a notification of change form. If you wish to withdraw from the national list, you should give notice at least three months before the event. Documentation is available on request should any of these circumstances occur.

If we can be of any further assistance, please do not hesitate to contact <insert name of sender> at the above address.

Yours sincerely

<insert name>

<insert title>