



Joint Accountabilities Framework

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BRIEFING NOTE FOR WEST DUNBARTONSHIRE CHCP JOINT FUTURE STAFF FORUM

The context of this paper is the process of joint management arrangements for the delivery of CHCP services in West Dunbartonshire. This paper has been previously agreed by the Joint Future Staff Forum and has been updated by the Joint Staff Forum. The paper is intended to detail the principles of managing staff across the CHCP i.e. staff in two different organisations.

The purpose of the Framework is to set out how employment issues will be dealt with in services where staff from different agencies are working and in particular, where the staff are managed by an employee of another agency. In addition, the Framework outlines arrangements for professional advice and accountability of employees in integrated management arrangements.

The Framework clarifies roles and responsibilities of operational managers and professional advisers in respect of employee communication and involvement, health & safety and risk management, provision of training and development, and fair and consistent treatment in accordance with employing agency HR policies.

The Framework meets the requirements of Governance Standards within both organisations.



FRAMEWORK FOR JOINT ACCOUNTABILITIES & LINE MANAGEMENT WITHIN WEST DUNBARTONSHIRE CHCP

1. INTRODUCTION

The Framework outlines key principles in integrated /joint management arrangements. These principles are illustrated in the attached diagram (Appendix 2) which describes joint accountabilities and line management arrangements from the perspective of an employee within West Dunbartonshire CHCP. A Glossary of Terms is outlined in (Appendix 1.)

This guidance note explains:

(i)The Principles underpinning the Joint Accountabilities Framework and how these would operate in practice.

(ii) The roles, responsibilities and working relationships within it.

It is intended that this Framework is a guide to integrated management arrangements, and would be adapted to meet local / care group needs, subject to the four principles below being provided for.

2. PRINCIPLES

The Framework is based on the premise that staff in integrated/ joint management arrangements would not be required to change employer. Therefore, the terms and conditions of employment and personnel policies and procedures of the employing organisation would continue to apply. There are 4 key principles.

1. That an employee in a joint team may be line managed by a manager from another agency.

2. That in this situation, there should be a named link from the employing agency who will advise the line manager and employee on policies and procedures relating to payroll and personnel matters.

3. That there will be a professional advisory function whose role is to advise the line manager on issues relating to professional practice and governance.

4. That the employee will have access to professional groups and networks for information sharing and professional practice development.



2.2 How these principles should operate in practice

1. Line Manager / Employee

- The employee reports directly to the line manager. This includes agreeing annual work objectives within the integrated team which would be monitored via regular supervision/update meetings with an associated performance management review process, and agreeing an annual personal / professional development plan.
- The employee reports sickness to the line manager, who is also the person who should authorise leave and expenses. This is documented locally as appropriate and forwarded to the employing agency's payroll dept for processing.
- Any concerns of the employee, be this an incident or a grievance should be reported to the line manager in the first instance.*
- Similarly, should the line manager have any concerns regarding the employee, such as the employee's welfare or receipt of a complaint, this should be raised with the employee by the line manager in the first instance.*

* *The line manager must take advice from the employing agency's HR service on how any such matters should be progressed and who should be involved. (see Named Employer Link below)*

2. Named Employer Link / Line Manager / Employee

- The named employer link is located within the HR Function of the employing agency.
- The named employer link is responsible for advising the line manager on terms and conditions of employment and HR policies and procedures. The named employer link has a key advisory role in terms of employment law and therefore helps manage organisational risk on behalf of the employing agency.
- The employee can seek clarification and advice on terms and conditions and personnel policy and procedure issues by contacting the named employer link directly.



3. Professional Advisory Function / Line Manager / Employee

Each profession has an advisory function which provides advice to line managers and professional support to staff within integrated/joint management arrangements thereby providing a support structure in respect of the employee's professional accountability via the employing agency's governance framework.

In relation to the line manager, the professional advisory function is responsible for-

- Supporting the line manager in ensuring professional standards are met. This includes ensuring adherence as appropriate to the employing agency's operational policies and procedures which impact on professional practice.
- Advising the line manager on any relevant risk management issues.
- Working with the line manager to resolve problems and where appropriate issue formal guidance on practice issues.
- Advising the line manager as required on competencies and on developing annual work objectives and personal/professional development with the employee.

In relation to employees, the professional advisory function is responsible for -

- Advising on CPD and professional registration.
- Providing advice on complex cases / practice issues. Professional practitioners have a responsibility to seek appropriate professional advice, and are accountable for applying the advice in practice.

The employee must have a clear understanding of the role of the professional advisory function and how this differs to the role of the line manager. This should be dealt with as part of Induction.

4. Professional Networks

The purpose of professional networks is to support focused learning or policy development, or both. Networks can enable management of knowledge within and across services, and consistency of practice. This type of sharing of learning, information and knowledge supports a whole system approach to the management and development of professional practice and would offer the CHP or WDC

Networks may operate within the CHCP or WDC or across NHSGGC and would offer:

- Reflective practice / action learning
- Access to professional mentoring/coaching



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- Access to profession specific training and development
- Policy / guideline development

Staff may be expected as part of the practitioner's role to participate in a professional network . Access to cross cutting Networks would typically be agreed with the line manager (advised by the professional advisory function) as part of personal development plan or continuing professional development.

3. ROLES AND WORKING RELATIONSHIPS

3.1. WORKING RELATIONSHIP BETWEEN EMPLOYEE AND LINE MANAGER

The management/employee relationship is founded on mutual trust. The building blocks of this trust are an understanding and fulfilling of respective responsibilities and expectations.

Responsibilities

Employee

The employee is responsible to the line manager for carrying out their role as per agreed work objectives and contract of employment, for appropriate reporting of concerns and incidents, for reporting sickness absence, for complying with team protocols and organisational policies and procedures, for enacting his/her own learning and personal and professional development.

Line Manager

The line manager is responsible to the employee for listening to and acting appropriately on any concerns or incidents reported by the employee, for providing safe and suitable facilities and equipment to enable the employee to fulfill their role, for ensuring team cohesion and local operational protocols, including standards and quality, and to facilitate the smooth running of the team.

Expectations

Employee

The employee has the expectation of a fair and open relationship with their



line manager. This includes being given the scope to deliver the role according to the employee's competency and professional autonomy levels, receiving constructive and timeous feedback on performance, having an agreed personal /professional development plan, having expenses and annual leave / TOIL / flexi requests processed timeously, and the right to time off for personal emergencies in accordance with their employing agency's procedures.

Line Manager

The manager has the expectation of the employee that he/she will carry out the agreed role with the appropriate level of supervision, will cooperate and communicate openly with other team members, honour team protocols and local agreements, report sickness absence in accordance with employing agency policy and procedure, and make timeous requests for annual leave / TOIL / flexitime.

3.2. WORKING RELATIONSHIP BETWEEN LINE MANAGER AND NAMED EMPLOYER LINK

The line manager and named employer link need to build and maintain a positive working relationship based on mutual trust and a clear understanding of each other's responsibilities with clear channels of communication being agreed at the outset.

Named Employer Link

The named employer link is responsible for advising the line manager in two main areas

a) on policy and procedural issues relating to payroll processing, procedures for authorizing leave, flexi, TOIL, ensuring the line manager is informed of any changes to these. The named employer link is also responsible for advising the line manager on personnel policy and terms and conditions such as overtime payments, special leave, sickness absence, and would support the process of referrals to the employing agency's occupational health service, and maternity leave requests.

b) on handling of conduct, capability and employee complaints (i.e. grievance and harassment). It is essential that any formal handling of the above should



be dealt in accordance with employees organisations policies and procedures.

Line Manager

The line manager is responsible for seeking advice from the named employer link at the appropriate stage - this would be immediately, for any conduct, capability or employee complaints issues.

3.3. WORKING RELATIONSHIPS BETWEEN LINE MANAGER AND PROFESSIONAL ADVISORY FUNCTION.

The professional advisory function and the line manager need to build and maintain a positive working relationship based on mutual trust and respect. Regular communication, ideally via face to face meetings is recommended.

Professional Advisory Function

The role of the professional advisory function is to advise and inform the line manager in making and implementing decisions which may impact on the role of the employee, to advise on risk management issues, to clarify levels of professional autonomy, standards and quality in general and the employee's competencies specifically. Also to advise on CPD and registration, and any changes to policy and legislation which may impact on the employee's practice.

Line Manager

The role of the line manager is to seek above advice before making any decisions which may have a significant impact on the role of the employee, to keep the professional advisory function informed of the progress of the work and service objectives of the team, and any future developments under consideration.

A commitment to work together to resolve areas of disagreement between the line manager and professional advisory function is crucial to ensure clarity of the staff member's role and professional practice. Where the line manager and professional advisory function require further advice or a final decision, this will rest with the CHCP Director who will seek advice from the appropriate corporate professional advisory function of the employing agency. This is notwithstanding the staff member's right to pursue the formal grievance policy of their employing organization.



4. IDENTIFYING AND PROGRESSING CONDUCT AND CAPABILITY ISSUES

4.1 Complaints

- West Dunbartonshire Council and NHS Greater Glasgow and Clyde each have their respective complaints management policies and as such complaints received from clients, patients, carers or members of the public relating to service issues are managed under the procedures outlined under the policy applicable to the complaint.
- The complaints procedures adopted within WDCHCP ensure appropriate compliance with these policies and where a more complex complaint is received, then this is responded to under the policy terms of the more significant aspect and a single response is provided to the complainant.
- There is however a provision to manage complaints outwith these policies where a complaint is submitted that alleges staff misconduct or poor performance. In such an instance, the manager may advise the complainant that the matter will be managed outwith the particular complaints procedure. The response to the complainant on the subject of the complaint will refer only to service related issues and not to any individual staff management matters.
- In such circumstances, the matter will be investigated and should it be determined that staff behaviour, performance or conduct was a factor within the particular complaint, then appropriate other organisational policies and procedures will be utilised.

4.2 Conduct and Capability (i.e. Discipline and Absence)

- Similarly, where a concern regarding conduct or capability has arisen, the line manager will seek advice from the named employer link, with input from the professional advisory function.
- Depending on the nature / stage of the issue, this will be dealt with using the informal practices and/ or formal policies of the employing organisation. An example would be a development plan to address a competency issue – the line manager would be responsible for implementing the development plan with the employee, and would be advised on this by the named employer link (who will advise on the process for doing this) and the professional advisory function (which will advise on the content of the plan, and may provide or arrange mentoring/coaching sessions).

- Where any formal disciplinary or absence management processes are instigated, this can be undertaken by the integrated manager who holds an honorary contract who must ensure that the policies and procedures from employing organisations are adhered to. Advice can be taken from the employer link.

4.3 Employee Complaints (i.e. Grievance and Harassment)

Grievance

- The employees have a right to make a complaint using the employing agency's Grievance Procedure, and to seek advice from the named employer link in doing this. As stated in 2.2.1, for the continuation of good working relationships it is recommended that employees make their line manager aware of the complaint in the first instance. From a practical perspective, issues which can be resolved within the integrated team / service should be raised within that arena in the first instance.
- In terms of pursuing formal grievance, the policy and procedure of the employing agency including appeal stages would be used. Advice from this can be undertaken by the integrated manager who holds an honorary contract who must ensure that the policies and procedures from employing organisations are adhered to. Advice can be taken from the employer link.

Harassment

- Harassment complaints would be similarly be dealt with using the employing agency procedures, with advice from the named employer link. It is good practice for the employee to inform the line manager of the complaint being raised.



Appendix 1

DRAFT FRAMEWORK FOR JOINT ACCOUNTABILITIES & LINE MANAGEMENT WITHIN WEST DUNBARTONSHIRE CHCP

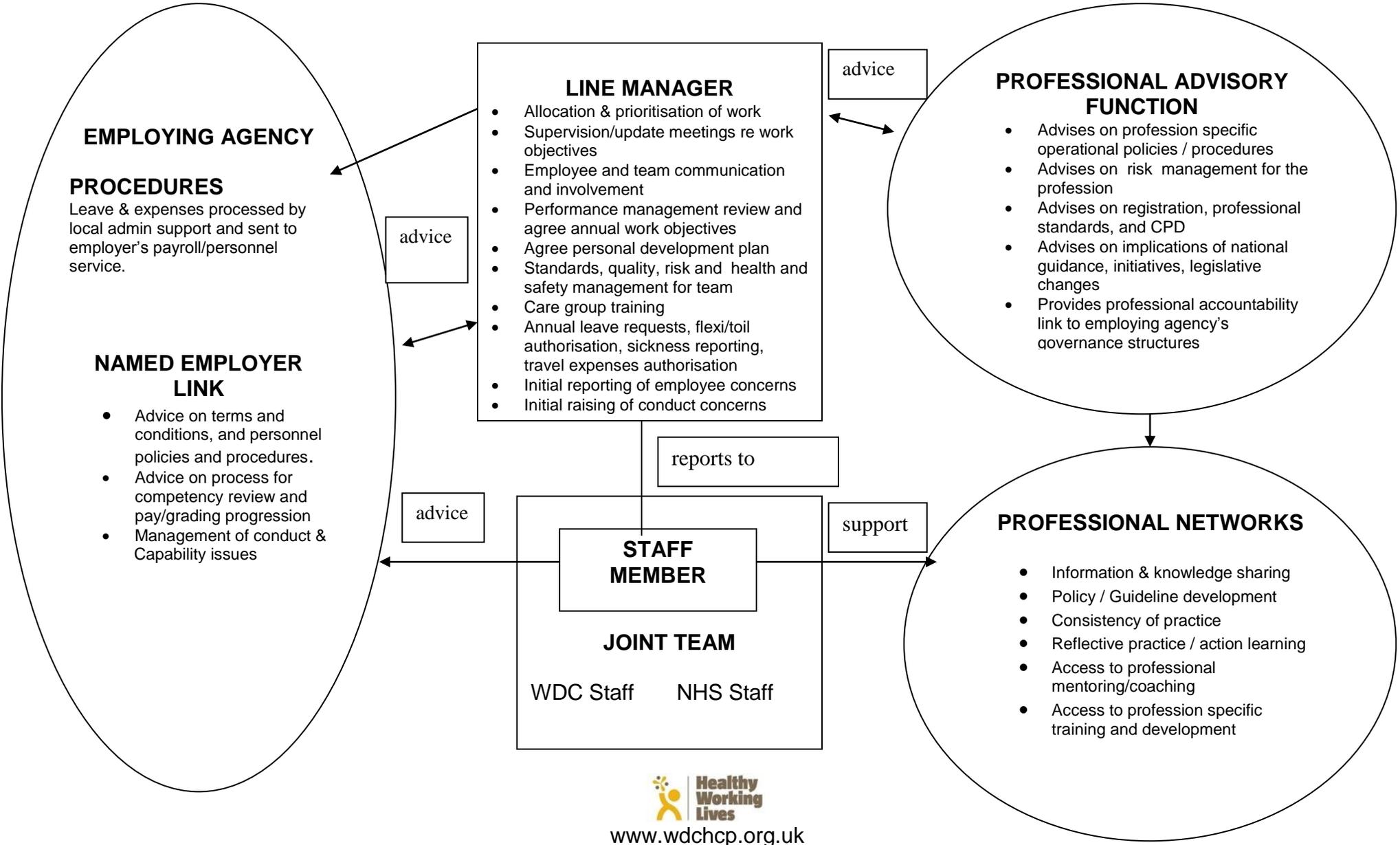
GLOSSARY OF TERMS (in Alphabetical order)

Action Learning	“Action learning sets” provide a form of peer learning and support where a group forms to confidentially share problems and support each other in developing solutions.
Annual Work Objectives	Agreed annually between line manager and employee, these are typically service delivery outcomes or improvements relating to the individual’s profession and role within the team, based on the wider objectives of the team and the integrated partnership and care group. Annual work objectives differ from job descriptions in being time limited and focusing on the service outputs rather than the individual inputs, although the objectives should be appropriate to the level of responsibilities as outlined in the job description.
CPD	Continuous Professional Development. A requirement for registration of a number of professions – this is about taking responsibility for ongoing learning and development, and maintaining up to date records to demonstrate this.
Competency	Typically these are Profession or role specific, and may be based on national occupational standards or similar organizational ones, including competency based job descriptions. There can also be competencies which apply to all staff in a joint team to support delivery of local protocol. E.g. information sharing.
Employing Organisation	This is the organization which employs the individual via contract of employment.
Governance Framework	‘Governance framework’ is a term which incorporates NHS financial and staff governance, in addition to Clinical Governance. In this context, governance is about the accountability of professionals for their professional practice. Professionals are accountable both to their regulatory body, and to their employer, and for the latter this is done via a professional advisory function which sets out standards and quality thereby providing a governance framework. ‘Professional governance’ or ‘clinical and care standards governance’ are terms which have been used to cover

	Clinical governance for health staff in joint teams.
Honorary Contracts	A contract of Secondary employment as an officer of the non-employing organisation (WDC / GGCNHS) for the purposes of discharging the functions of that organisation associated with the CHCP.
Integrated Management	The bringing together of services (staff, finance, premises and equipment) from more than one agency, to work together in order to provide a joined up or seamless service delivery to clients.
Joint Accountability	This is where staff are accountable to both their employing agency (see governance framework) and to their operational line manager within the Partnership who may be from another agency.
Line Management	The line manager is the individual who is responsible and accountable for the operational management of the service. Operational management includes the implementation of strategic service delivery objectives and the day to day management of the service, including staff, aligned or pooled budgets, premises and equipment.
Networks	Networks can serve a range of purposes – learning, knowledge sharing, serious/critical incident review, guideline development. Typically networks are non hierarchical, though would be linked to organizational structures and hierarchies for delivery of their outputs.
Performance Management Review Process	This is a generic term meaning the review of work objectives on an annual or interim 6 monthly basis; it would also encompass any formal appraisal processes used by employing agencies.
Personal / Professional Development Plan	This is a generic term meaning the planning of an employee's training and development needs on an annual basis. This would encompass profession specific needs, and needs focused on the integrated team and care group. The systems of each agency would be used in respect of recording the plan.
Professional Accountability	See Governance Framework
Professional Advisory Function	See also Governance Framework. This function serves to ensure the employing organization meets the standards required of regulatory bodies, and associated national initiatives and/or changes to legislation. Professional Advisory Function can be local – i.e. located as part of the management team, and corporate – located within the employing agency management structure.

Professional Autonomy levels	Based on level of professional competency, this refers to the scope a practitioner has to make decisions – typically on cases – without immediate reference to / permission of line manager.
Professional Practice Development	See also CPD, and Personal / Professional Development Plan, and Whole System Approach. The focus here is on the developing the professional practice of the employee. This can also be about reflective practice supervision or advice provided by or via the Professional Adviser.
Protocols	Protocols are guidelines which are developed to enable integrated working, e.g. information sharing, consent, communication, and should supplement the policies and procedures of the employing agency.
Reflective Practice	A means of learning by reflecting on actions taken / decisions made, often done on a one to one basis with the practitioner working with a mentor or coach. Can also be used in a group either within a profession or cross professional, e.g. within an integrated team.
“Reports to”	This denotes where an employee is accountable to their operational line manager for the delivery of the service as per job description and agreed annual work objectives.
Service Objectives	These are the objectives of the service and/or care group and would typically focus on service delivery outcomes such as specific benefits to clients as a result of integration, and could also include service delivery improvements such as redesign. Service Objectives would also be expected to reflect any relevant national targets or initiatives, and the broader aim of health improvement.
Supervision / Update Meetings	This is where the operational line manager meets with the employee on a one to one basis, e.g. monthly or six weekly to discuss service delivery issues. This serves the purpose of monitoring for the manager, and provides the opportunity for the employee to raise questions and issues and have these answered.
Whole system approach to management and development of professional practice	This links individual learning and development with wider learning across the service or Partnership via Networks, service redesign, developing and maintaining standards and quality, and enabling learning from complaints and serious / critical incident review.

DRAFT FRAMEWORK FOR JOINT ACCOUNTABILITIES AND LINE MANAGEMENT WITHIN WEST DUNBARTONSHIRE CHCP *Appendix 2*



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