

## **Governance of a Clinical Academic Post**

### **Governance framework for clinical academic posts between the Faculty of Health Sciences, University of Southampton and partner NHS Trusts**

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#### **1.0 Introduction**

The Faculty and our partner NHS Trusts embrace the need to develop new and innovative ways of meeting patient/client needs that incorporate different ways of thinking and working in order to deliver a quality service. Clinical academic appointments are one approach to expanding the workforce and sharing specific nursing, midwifery and allied health professional knowledge and skills across the academic/practice interface that will ultimately improve health and delivery of quality care to patients/clients.

An increasing number of posts and studentships/fellowships are being introduced that cross boundaries between Trust(s) and Faculty. There are a range of jobs that may cross boundaries between the higher education sector and the NHS, and in our particular case include nursing, midwifery and AHP teaching and research roles. Examples include but are not confined to:

- Post-doctoral clinical academic fellows (e.g. individuals on SHA and Trust sponsored schemes);
- Nurse consultant and other NHS clinicians seconded for educational and/or research purposes to the Faculty;
- Education or research focussed clinical academics in the University seconded to the NHS;
- 'Joint' appointments whereby an individual is jointly appointed to a post 'shared' between Trust and University.

In this document the term 'Employer' is used to refer to the organisation that holds the employment contract, and 'Host' refers to the other organisation(s) involved in the partnership arrangement.

This governance framework is confined to arrangements for 'joint' clinical academic posts, which for the avoidance of doubt is not intended to imply or mean that a joint contract of employment exists between the Employer, the Host and the clinical academic. Whilst many of the principles may also apply to those who work across institutions during the course of pursuing a clinical academic fellowship or whilst on secondment (or with an honorary appointment) for the purposes of practice, research or teaching over a fixed period of time these posts and the arrangements for clinical academic PhD studentships are not within the scope of this framework.

#### **2.0 Rationale**

This best practice guidance has been developed to help ensure the operation of effective and efficient processes to manage relationships and ensure individual clinical academics are fully integrated within and across the organisations. Contracts and agreements between the Employer and the Host are essential but

only go so far. They will not contain some of the details necessary to ensure effective and efficient everyday processes are in place to encourage a culture of collegial partnership and create an environment where individual clinical academics are managed and supported to reach their full potential.

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### **3.0 The Framework for Joint Appointments**

#### **3.1 Phase 1: Articulating and Actualising the Role: Proposal and Appointment Process**

##### 3.1.1

A business case to appoint a clinical academic should be developed and reviewed by all participating academic units (or Divisions). This should address the preliminary goals and objectives of the post, WTE equivalent split between organisations, role and responsibilities, Host organisation fit with strategic priorities and funding commitments. This should then be presented to the Dean & Director of Nursing for approval. It must be developed, with appropriate consultation, by the initiating academic units (or Division), and endorsed by the appropriate Dean/Director (Education, Research or Enterprise) and relevant Head of Nursing and Therapies.

The business case should describe the salary costs (including on-costs) and other resources anticipated to be required and which party will meet these costs. For example, computer hardware, software, office equipment, mobile phone and accompanying service contract and bill, travelling expenses, car parking charges, administrative support, training and development costs and any other costs relevant to the post. It should be clearly specified who will meet the additional costs (i.e. Employer or Host). It should include mention of redundancy costs and who will meet these if the individual is employed on a fixed term contract and has continuous service that would need to be calculated in any payment.

##### 3.1.2

The post holder's primary job title will be conferred by the Employer (for example Nurse Consultant). Where it is agreed that an additional title is required to indicate scope of role in the Host where the honorary contract is held the most appropriate title, indicative of sphere of responsibility and scope of practice, should be agreed with relevant senior officer (e.g. in case of a research focussed role with Associate Dean of Research and where education focussed role with Head of Academic Unit) and assigned (for example Research Fellow, Teaching Fellow, Senior Lecturer).

##### 3.1.3

Once the business case has been agreed a senior manager from each organisation should be nominated by the Dean and Director of Nursing to progress the contractual and appointment arrangements through a planning forum/steering group. Persons on the planning forum should have clear roles and responsibilities throughout the planning process. The senior managers will:

- Negotiate detailed objectives (thinking carefully about what can and cannot be expected to deliver);
- Agree the job description and person specification and timescale for job evaluation subject to local processes;
- Determine who is accountable for the post holder, who will manage clinical academic and who is responsible for strategic oversight of relationship between the two organisations;
- Agree primary location of post and secure accommodation and equipment necessary for clinical academic to perform role effectively;
- Ensure all necessary approvals and signs off are secured in a timely manner;

- Take responsibility for the appointments process and formulate a schedule to facilitate process of recruitment and selection in collaboration with HR departments in each organisation;
- Agree joint review and appraisal processes.

Individuals on the planning forum may include relevant senior Trust and Faculty managers, Human Resources representative, Business Manager and legal services.

#### 3.1.4

The joint appointee's role is an integrated one and should be set out in a job description in a form that complies with the Employer's style and subject to ratification by the Host. Line management, expectations about who will conduct and contribute to PPDR (appraisal) and additional support and supervision arrangements should be discussed and agreed at this stage.

#### 3.1.5

The salary, contract and terms and conditions should be established at this stage. A draft agreement should ideally be drawn up before recruitment is progressed. It should include arrangements if either party wish to terminate the agreement early.

#### 3.1.6

The Employer should follow the standard recruitment processes already in place. A recruitment pack should be developed containing information about both organisations.

#### 3.1.7

Procedures to secure an honorary contract in the Host (and all necessary pre-employment checks and clearance) should be instigated by the Host in collaboration with the HR Department of the Employer during the latter stages of the recruitment process and concluded prior to commencing the post.

### **3.2 Phase 2: Actioning the Role**

#### 3.2.1

Orientation and immersion in both organisations is critical to becoming an insider and fully integrated. The induction and orientation process for each organisation should be followed. Line Managers in the respective organisations should ensure this is made available and clearly articulate the governance arrangements of the role and lines of professional and managerial accountability. The Host should take responsibility for co-ordinating its own induction for the post holder.

#### 3.2.2

The clinical academic should be supplied with all necessary technology to perform the role. Computer software should be compatible and networked between organisations where practical. Telephone voicemail (and in most cases mobile phone) are critical to ensure an individual is accessible to both sides of partnership.

### 3.2.3

The clinical academic should acknowledge the joint nature of their post on material such as email signatures, business cards, correspondence and PowerPoint presentations through the inclusion of appropriate organisational logos and text descriptions. This should be in line with the prevailing corporate guidance standards of both parties.

## **3.3 Phase 3: Executing the Role**

### 3.3.1

Specific objectives should be set with reference to the PPDR/appraisal process of both parties. A joint meeting should be held within the first month between the clinical academic and Line Managers from each organisation to agree preliminary objectives and initial expectations which can be further developed with time.

### 3.3.2

Based on these objectives a single integrated job plan should be drawn up and agreed. An integrated job planning process will ensure all the stakeholders have clarity about the duties that have been agreed for the individual clinical academic.

### 3.3.3

Line Managers can help the joint appointee's peers to develop reasonable expectations of the appointee by clearly communicating their expectations of the role. It is helpful for peers to periodically hear of the joint appointee's activities in both organisations.

### 3.3.4

The need for other liaison relationships to be established with designated managers should be actively considered if the clinical academic is expected to make a significant contribution to a particular aspect of an organisation's business.

## **3.4 Phase 4: Evaluating and Advancing the Role (individual and strategic partnership)**

### 3.4.1

Performance management of the clinical academic is very different to performance management of joint appointments. Specifically, a joint appointee needs a Line Manager while joint appointments need a strategic steer and the organisations involved should have agreed mechanisms for monitoring and evaluating the effectiveness of joint appointments in achieving shared strategic objectives.

### 3.4.2

There should be nominated individuals who act as the primary conduit for communication through which performance management of the appointee is conducted, this would normally be the Line Managers. The joint appointee should be given the opportunity to periodically feedback in relation to their job satisfaction, time management and allocated resources

### 3.4.3

PPDR/appraisal should be conducted jointly using system and paperwork of the Employer, but adapted as necessary to meet needs of both organisations. PPDR/appraisal should be used as a route to determine the extent to which

functioning in role has enabled achievement of objectives. Training, development and learning needs should be identified as a part of PPDR.

#### 3.4.4

Representatives of both parties should jointly agree any recommendations for pay progression to the Employer.

#### 3.4.5

Where the scope of role and duties significantly change the post will be subject to evaluation on the Agenda for Change job evaluation scheme (where the NHS is the Employer) or through pursuing academic promotion (where the University is the Employer). The Host should, as part of this process, make an assessment of whether the duties assigned to the individual in its organisation have changed sufficiently to merit promotion. In the event promotion is successful a revised job description should be agreed between the clinical academic and the two organisations.

#### 3.4.6

Performance management of the clinical academic remains the responsibility of the Employer and should be in line with existing policies and procedures. This will extend to absence management, performance/capability and conduct.

#### 3.4.7

Any disciplinary or grievance which arises should be dealt with by the Employer in accordance with its Disciplinary & Grievance Procedure. This may be completed with appropriate input and consultation with the Host where this is relevant to the matter in question.

#### 3.4.8

Where standards of conduct or performance of the joint post have fallen short of expected standards in the Host organisation, the Employer should be notified of this. It may be sufficient for the matter to be dealt with informally. However, where more serious matters have been identified formal action will be managed in line with the provisions of the Employer's disciplinary and performance management policy. The Employer should be notified at the earliest opportunity to become appropriately engaged in managing the issue.

#### 3.4.9

Line Managers in both organisations should periodically (interval agreed in advance) consider the extent to which organisation-specific and shared objectives are being achieved. The role should be proactively examined based on on-going changes and evaluations by both organisations. A strategic steer is desirable from both organisations to monitor the effectiveness of the agreed set of strategic objectives. This may be from individuals other than the line manager (e.g. those involved in strategic management of the relationship of partner organisations).

#### 3.4.10

Individuals will be subject to provide notice of termination of their employment contract in line with their relevant contractual provisions.

#### 3.4.11

Six months prior to the end date of the collaboration agreement the Employer and Host should undertake a review to determine whether both organisations wish to renew the collaboration agreement and if so should extend the term of the collaboration agreement (revising any other terms where necessary) in a formal variation agreement) and should begin with phase 3 as set out above in respect of the extended period.

#### 3.4.12

Where the Employer and Host have identified through review that the post is no longer viable, the clinical academic will be managed in line with the Employer's provisions for organisational change redundancy. Any termination of the post will be subject to the contractual notice periods of the employee. In the event suitable alternative employment is not possible relevant redundancy costs will be paid in line with the contract agreed between both parties.

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