

Table 3: Glossary of key people 2.3.20

Key Person	Responsibility
Chief Executive (CE)	<ul style="list-style-type: none"> <li>Responsible for managing exclusion procedures and for ensuring that cases are properly managed</li> <li>Discuss any exclusion with the Medical Director, Director of HR and Practitioner Performance Advice (PPA) prior to carrying it out</li> <li>Authority to exclude</li> </ul>
Case Manager (CM)	<ul style="list-style-type: none"> <li>Identify the nature of the concern, assess the seriousness and the likelihood it can be resolved informally</li> <li>Define allegations and terms of reference for an investigation, ensure efficient investigation</li> <li>Act as co-ordinator and obtain any information required and receive the investigators report</li> <li>Oversee the progress and report to the CE</li> <li>Not a disciplinary/capability/appeal panel member</li> </ul>
Case Investigator (CI)	<ul style="list-style-type: none"> <li>Establish the facts for the Case Manager (CM) within the investigation's terms of reference and timelines</li> <li>Produce a preliminary report as soon as possible with advice from PPA where there is immediate exclusion, to enable decisions about next steps</li> <li>Ensure written record kept of investigation, conclusion and action agreed by Director of HR and MD</li> <li>Assist the Designated Board Member in reviewing progress</li> <li>Not a decision maker on what action will be taken</li> <li>Not a member of disciplinary panel</li> </ul>
Director of Human Resources (Dir of HR)	<ul style="list-style-type: none"> <li>Key liaison for MD or CM or CI about how to use MHPS policy and hearing panels</li> <li>Expert in employment law</li> <li>Strategy for overall approach, oversight of risk</li> <li>Ensure Fair play</li> </ul>
Designated Non-executive Board member	<ul style="list-style-type: none"> <li>Oversee the case during the investigation and maintain momentum</li> <li>Review exclusions/restrictions and hear representations by the practitioner</li> <li>Assist CM/MD about any decisions about action</li> </ul>
Occupational Health (OH)	<ul style="list-style-type: none"> <li>Provide advice to managers on how to support employees who are under stress as a result of going through the MHPS process, where there are concerns about health</li> </ul>
Medical Director (MD)	<ul style="list-style-type: none"> <li>Act as Case Manager for Consultant grade staff or delegate to deputy</li> <li>Delegate to a senior manager to oversee the case for other grades of staff where appropriate</li> <li>Authority to exclude a doctor</li> <li>Appoints Case Investigator</li> <li>Retains responsibility for cases where they are delegated to a deputy/senior manager</li> </ul>
Responsible Officer (RO)	<p>The Responsible Officer role was established in 2010 and they have statutory responsibility for the following:</p> <ul style="list-style-type: none"> <li>Medical appraisal</li> <li>Processes to monitor a doctor's performance</li> <li>Processes to respond to concerns about a doctor's performance</li> <li>Processes to verify a doctor's suitability for the work they are engaged to do</li> <li>Make a recommendation to the General Medical Council (GMC) about fitness to practise</li> <li>In some trusts the MD may delegate MHPS responsibilities to the RO.</li> </ul>

Table 4: Glossary of other organisations

Organisation Name	Description
Advisory, Conciliation and Arbitration Service (ACAS)	A publicly funded, independent organisation that aims to promote better relations between employers and employees in disciplinary matters and grievances relevant to all professions.
British Medical Association (BMA)	The professional association and registered trade union for doctors in the United Kingdom. The association does not regulate or certify doctors, a responsibility which lies with the General Medical Council.
The General Medical Council (GMC)	The GMC's role ( <a href="#">GMC, 2020</a> ) <sup>14</sup> is defined by the Medical Act of 1983 and is to keep up-to-date registers of qualified doctors, foster good medical practice, promote high standards of medical education and training, deal firmly and fairly with doctors whose fitness to practise is in doubt, check that doctors have appraisal and revalidation
NHS England	This is an executive public-body of the Department of Health which oversees the budget, planning, and delivery of the commissioning side of the NHS.
NHS Improvement (NHSI)	NHSI is an agency of the Department of Health and Social Care which has produced, as part of its workforce and leadership strategy, recommendations to improve the engagement of the NHS workforce. It has published several documents relating to disciplinary matters for NHS staff. It has recently merged with NHS England.
NHS Resolution (incorporating the Practitioner Performance Advice)	NHS Resolution is a Department of Health and Social Care agency. Its functions include Claims management, Primary Care appeals, Safety and Learning and incorporates Practitioner Performance Advice (PPA). PPA offers expert impartial advice to employers, support and assessment, interventions, mediation and training to manage concerns about a doctor. Doctors facing a disciplinary matter can contact PPA directly for a confidential discussion and signposting ( <a href="#">NHS Resolution Practitioner Performer Advice, 2018</a> ).