

NIHR CRN East Midlands Issue Resolution Procedure

v.1.0 November 2018

Host Organisation: University Hospitals of Leicester NHS Trust

Executive summary

This procedure has been developed so that stakeholders have a route to raise any matters of concern which may arise, in relation to CRN East Midlands (CRN EM) business. This document outlines how to raise a concern or complaint with a view to having the issue considered, and hopefully resolved in a timely manner.

The document sets out time frames in order that any issues can be addressed and swiftly resolved, as close to source as possible. A key principle is that wherever possible, issues are resolved on an informal basis. It should be noted that this procedure is intended to be used specifically for CRN related matters and should in no way supersede existing local Trust or organisational policies and procedures. This procedure does not apply to staffing related matters, which are covered within existing employment arrangements.

The Executive Leads for this procedure are the CRN East Midlands Clinical Director and CRN East Midlands Nominated Executive Lead at the Host Organisation (UHL Medical Director).

Issue Resolution Procedure

Valid for use from	28 November 2018
Owner	CRN East Midlands
Authors	Carl Sheppard, Host Project Manager Elizabeth Moss, Chief Operating Officer
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Version	Change	Authors	Date Agreed
v.1.0	Development and issue of guidance	Carl Sheppard, Host Project Manager Elizabeth Moss, Chief Operating Officer	28.11.2018

NIHR CLINICAL RESEARCH NETWORK EAST MIDLANDS

Issue Resolution Procedure

C O N T E N T S

Paragraph	Title	Page
1.	Introduction	4
2.	Procedure Aim and Scope	4
3.	Procedure Process	4
4.	Procedure Stages	5
5.	NIHR CRN Escalation Process	6
Appendix 1	Example of Escalation Routes	7
Appendix 2	CRN East Midlands Contacts	8

1. INTRODUCTION

- 1.1 This document describes the procedure for managing concerns and disputes in relation to matters with CRN East Midlands business operation.
- 1.2 Concerns or disputes could be issues that stakeholders raise with CRN East Midlands where it is felt an unsatisfactory decision has been made. Examples may relate to decisions made or policy/processes implemented in relation to the CRN East Midlands core business of clinical research delivery across the region.
- 1.3 CRN East Midlands recognises the importance of good communication and engagement with stakeholders and partners to facilitate successful partnership working. It is expected that partners will communicate with relevant CRN staff and managers, and inform them of any potential concerns as early as possible. Partners should expect CRN staff and managers to listen to their concerns, respond and deal with them in a timely manner.
- 1.4 Wherever possible, to ensure good relations, concerns or disputes will be resolved informally, and by reference to their initial point of contact. This procedure is for use in those situations where informal resolution has not been possible.

2. PROCEDURE AIM AND SCOPE

- 2.1 The aim of this procedure is that all issues are dealt with in a fair and timely manner and as near as possible to the point of origin.
- 2.2 This procedure is to enable parties to raise with CRN East Midlands, matters of concern or dissatisfaction.
- 2.3 This procedure applies to all stakeholders, those in receipt of funding from CRN East Midlands, including Partner Organisations (Categories A, B and C), along with other stakeholders and partners whom we interact with during the course of our usual business operations.

3. PROCEDURE PROCESS

- 3.1 Where possible, a concern or dispute should be raised promptly, and ideally within 2 weeks of their first becoming aware of the source of the issue. In cases where issues have not been raised within this time frame, the resolution process will consider the circumstances of this.
- 3.2 It is recognised that occasionally there may be sound practical reasons why the resolution of the issue is subject to delay or where a time limit cannot be complied with on either side, or where it would help to allow additional time for resolution at that level. Where there are likely to be delays in the process the appropriate manager should contact the party involved explaining the reasons for the delay and the likely timescales for resolution.

- 3.3 Issues may be referred back to any previous stage of the procedure by joint agreement if it appears likely that to do so will bring a quicker or more acceptable solution.
- 3.4 Managers should carry out any necessary investigations to establish the facts of each case.
- 3.5 No manager may hear a concern at more than one stage of the procedure.
- 3.6 A party may withdraw their concern at any stage of the procedure, should they wish to.

4. PROCEDURE STAGES

STAGE	PROCESS
<p>Stage 1 Immediate CRN EM manager (e.g. Senior Team Link)</p>	<p>The party with a concern should normally raise it with the immediate CRN EM manager involved verbally, ideally within 2 weeks of becoming aware of the issue. The CRN manager will acknowledge the concern and respond verbally or in writing as soon as possible and make all reasonable endeavours to resolve the concern informally. A meeting or phone call can be arranged to discuss the issue, if appropriate. If there is failure to resolve the issue, the concerned party should proceed to Stage 2.</p>
<p>Stage 2 Next in line CRN EM Senior Manager / Deputy Chief Operating Officer (DCOO) / relevant Divisional Clinical Lead</p>	<p>The party with a concern should contact the next in line CRN EM Senior Manager or Deputy Chief Operating Officer, preferably by email. The next in line manager will aim to resolve the concern and will respond verbally or in writing as soon as possible. The relevant Divisional Clinical Lead will be consulted in relation to any research delivery issues. A further meeting or phone call can be arranged to discuss the issue, if appropriate. If there is still failure to resolve the issue, the concerned party should notify the CRN EM Senior Manager/ DCOO who will direct the issue to Stage 3.</p>
<p>Stage 3 CRN EM Clinical Director (CD) / Chief Operating Officer (COO)</p>	<p>The CRN EM Senior Manager/DCOO at Stage 2 will provide notification of the concern along with any additional information detailing why the party remains dissatisfied to the Clinical Director or Chief Operating Officer as soon as possible. The CD/COO will aim to resolve the concern and if appropriate, will arrange a meeting or phone call within 4 weeks (subject to availability of the parties) to discuss the issue further.</p>
<p>Stage 4 CRN EM Executive Director (UHL Medical Director)</p>	<p>If there is still failure to resolve the concern, it will be formally escalated to the CRN EM Nominated Executive Director by the the CD/COO as soon as possible, who will seek to address this.</p>

Examples of potential escalation routes in different settings are displayed in Appendix 1.

5. NIHR CRN ESCALATION PROCESS

- 5.1 If there is still failure to resolve the concern, it will be referred in accordance with the national escalation process as described in the NIHR CRN Performance and Operating Framework and CRN East Midlands Governance Framework. The issue will enter this process at stage 3 by bringing it to the attention of the Host Organisation Chief Executive as outlined below.
- 5.2 Agreed escalation routes and levels are:
1. LCRN Clinical Director – Professor David Rowbotham
 2. Nominated LCRN Executive Director – Mr Andrew Furlong
 3. The Trust Chief Executive Officer – John Adler
 4. National CRN Coordinating Centre
 - (i) Chief Operating Officer, National CRN Coordinating Centre
 - (ii) Chief Executive Officer, National CRN Coordinating Centre

Appendix 1 - Example escalation routes

The below table displays potential escalation routes, which will be applicable in different settings. CRN East Midlands staff and Senior Team Link contact details are provided in Appendix 2.

Stage	Partner Organisation	Primary Care	Other Stakeholders
Stage 1	Senior Team Link	Research Delivery Manager (Divisions 2 & 5) / Research Operations Manager (Divisions 2 & 5)	Lead Nurse
Stage 2	Deputy Chief Operating Officer / relevant Divisional Clinical Lead	Deputy Chief Operating Officer / Divisional Clinical Lead for Primary Care	Deputy Chief Operating Officer / relevant Divisional Clinical Lead
Stage 3	Chief Operating Officer / Clinical Director	Chief Operating Officer / Clinical Director	Chief Operating Officer / Clinical Director
Stage 4	CRN EM Executive Director	CRN EM Executive Director	CRN EM Executive Director

Appendix 2 - CRN East Midlands Contacts

Division / Specialty	Contact Details
Division 1 - Cancer	<p>Hannah Finch, Research Delivery Manager hannah.finch@ninh.ac.uk 0115 9529924 ext 70690</p> <p>Penny Millward, Research Operations Manager penny.millward@nihr.ac.uk 0115 9529924 ext 70653</p> <p>Prof. Srinivasan Madhusudan, Clinical Research Lead - Division 1 srinivasan.madhusudan@nuh.nhs.uk</p>
Division 2 - Cardiovascular, Diabetes, Metabolic & Endocrine, Renal, Stroke	<p>Harpal Ghattoraya, Research Delivery Manager harpal.ghattoraya@nihr.ac.uk 0116 2584029</p> <p>Harriet Savage, Research Operations Manager harriet.savage@nihr.ac.uk 0115 9529924 ext 70655</p> <p>Prof. Melanie Davies, Clinical Research Lead - Division 2 melanie.davies@uhl-tr.nhs.uk</p>
Division 3 - Genetics, Haematology, Reproductive Health & Childbirth	<p>Hannah Finch, Research Delivery Manager hannah.finch@ninh.ac.uk 0115 9529924 ext 70690</p> <p>Penny Millward, Research Operations Manager penny.millward@nihr.ac.uk 0115 9529924 ext 70653</p> <p>Dr. Julian Barwell, Clinical Research Lead - Division 3 jgb8@leicester.ac.uk</p>
Division 4 - Dementia & Neurodegeneration, Mental Health, Neurological Disorders	<p>Karen Pearson, Research Delivery Manager karen.pearson@nihr.ac.uk 01332 783098</p> <p>Katherine Gilmour, Research Operations Manager katherine.gilmour@nihr.ac.uk 0116 258 6185</p> <p>Prof. Martin Orrell, Clinical Research Lead - Division 4 martin.orrell@nottingham.ac.uk</p>

<p>Division 5 - Ageing, Dermatology, Health Services Research Delivery, Musculoskeletal disorders, Primary Care, Public Health</p>	<p>Harpal Ghattoraya, Research Delivery Manager harpal.ghattoraya@nihr.ac.uk 0116 2584029</p> <p>Harriet Savage, Research Operations Manager harriet.savage@nihr.ac.uk 0115 9529924 ext 70655</p> <p>Prof. Azhar Farooqi, Clinical Research Lead - Division 5 farooqi.am@gp-c82063.nhs.uk</p>
<p>Division 6 - Anaesthesia, peri-operative medicine and pain management, Critical care, Ear, Nose and Throat, Gastroenterology Hepatology, Infection, Injuries and emergencies Ophthalmology, Respiratory Disorders, Surgery</p>	<p>Karen Pearson, Research Delivery Manager karen.pearson@nihr.ac.uk 01332 783098</p> <p>Katherine Gilmour, Research Operations Manager katherine.gilmour@nihr.ac.uk 0116 258 6185</p> <p>Dr Matthew Diggle, Clinical Research Lead - Division 6 mathew.diggle@nuh.nhs.uk</p>

Area	Contact Details
<p>Senior Leadership</p>	<p>Professor David Rowbotham, Clinical Director david.rowbotham@nihr.ac.uk 0116 258 6185</p> <p>Professor Stephen Ryder, Co-Clinical Director stephen.ryder@nihr.ac.uk</p> <p>Elizabeth Moss, Chief Operating Officer elizabeth.moss@nihr.ac.uk 0116 258 6185</p> <p>Kathryn Fairbrother, Deputy Chief Operating Officer kathryn.fairbrother@nihr.ac.uk 0116 258 5009</p>
<p>Workforce Development</p>	<p>Michele Eve, Workforce Development Lead and Well-being Lead michele.eve@nihr.ac.uk 0116 250 2778</p>
<p>Industry / Life Sciences</p>	<p>Daniel Kumar, Industry Delivery Manager daniel.kumar@nihr.ac.uk 0115 9249924 ext 70649</p>
<p>Business Intelligence</p>	<p>Kathryn Fairbrother, Deputy Chief Operating Officer kathryn.fairbrother@nihr.ac.uk 0116 2585009</p>

CRN East Midlands Senior Team Links

Organisation	Senior R&D/I Contact	CRN Link RDM
Chesterfield Royal Hospitals NHS Foundation Trust	Karen Moxon	Dan Kumar
Derbyshire Community Health Services NHS Foundation Trust	Rubina Reza (interim)	Roz Sorrie-Rae
Derbyshire Healthcare NHS Foundation Trust	Rubina Reza	Roz Sorrie-Rae
East Midlands Ambulance Service NHS Trust	Anne Spaight	Karen Pearson
Kettering General Hospital NHS Foundation Trust	Gwyn McCreanor	Penny Millward
Leicestershire Partnership NHS Trust	Susan Corr	Penny Millward
Lincolnshire Community Health Services NHS Trust	Debbie Jeffrey	Harriet Savage
Lincolnshire Partnership NHS Foundation Trust	Dianne Tetley	Kate Gilmour
Northampton General Hospital NHS Trust	Michelle Spinks	Dan Kumar
Northamptonshire Healthcare NHS Foundation Trust	Sue Palmer-Hill	Michele Eve
Nottingham University Hospitals NHS Trust	Maria Koufali / Sam Jones	Harpal Ghattoraya
Nottinghamshire Healthcare NHS Foundation Trust	Shirley Mitchell	Kate Gilmour
Sherwood Forest Hospitals NHS Foundation Trust	Alison Steel	Harriet Savage
United Lincolnshire Hospitals NHS Trust	Tanweer Ahmed	Hannah Finch
University Hospitals of Derby and Burton NHS Foundation Trust	Deborah Price	Hannah Finch
University Hospitals of Leicester NHS Trust	David Hetmanski	Karen Pearson

Non-NHS provider organisation	Senior R&D/I Contact	CRN Link RDM
LOROS Hospice	Wendy Gamble	Hannah Finch
Nurture Fertility	Nick Raine-Fenning	Hannah Finch
Citycare	Tracy Tyrrell	Roz Sorrie-Rae
Circle	Angela Thompson	Harpal Ghattoraya