Joint Working Framework

**Author:** Andrew Richardson, Corporate Governance Manager

**Date:** 16 January 2018  
**Version:** 1

**Sponsoring Executive Director:** Melanie Westlake, Board Secretary and Head of Corporate Governance

**Who will present:** Melanie Westlake, Board Secretary and Head of Corporate Governance

**Date of Board meeting:** 25 January 2018

**Committee/Groups that have received or considered this paper:** Business Executive Team Meeting – 15 January 2018

**The Executive Team are asked to:** (please select one only)

- **Approve** the recommendation(s) proposed in the paper  **✓**
- **Discuss** and scrutinise the paper and provide feedback and comments
- **Receive** the paper for information only

**Link to Public Health Wales commitment and priorities for action:**
(please tick which commitment(s) is/are relevant)

- [ ] Priority 1: Ensuring public health services are responsive to the needs of all communities
- [ ] Priority 2: Achieving public health outcomes
- [ ] Priority 3: Enhancing strategic planning and decision-making
- [x] Priority 7: Developing the organisation to be best it can be

**Priorities for action**

Priority 7: Developing the organisation to be best it can be
1. Introduction

The purpose of this report is to present the Public Health Wales Joint Working Framework to the Board for approval.

2. Background

At a meeting of the Board on 24 September 2015 a Joint Working Agreement between Public Health Wales and Novartis was discussed. It was identified that the agreement was not aligned to Public Health Wales’ mission and strategy. At that meeting, it was agreed that a framework for future collaborations was required.

3. Description

The Public Health Wales Joint Working Framework (“the Framework”) provides guidance with regard to the establishment of joint working opportunities on local, national and international levels. The Framework outlines how good governance arrangements can support effective and successful joint working, underpinned by strategic and legislative drivers. It also:

- Provides the means to assess the suitability of partner organisations through a risk-based approach and sets out the governance and accountability arrangements for the development, approval and monitoring of formal joint working arrangements.

- Has been developed in accordance with existing best practice. The policies and frameworks of other organisations were also considered.

All documents, including the Equality and Health Impact Assessment have been subject to consultation. This commenced on 18 October 2017 and closed on 10 November 2017. Targeted emails were sent to specific people inviting comments, including members of the Executive Team.

Broadly, the feedback received focused on the following areas:

- The distinction between formal and informal collaborations and partnerships.
- Further clarity required on the ‘tipping point’ at which the formal elements of the framework would need to be applied.
- The need to provide more direct links to the Well-being of Future Generations (Wales) Act and the organisation’s well-being objectives.
- Definitions of the types of partnership and collaboration.
It was also noted that the Framework could also support the development and governance of its international partnerships. Collated feedback from the Policy, Research and International Division indicated that broadening the scope of the framework to include an international scope would enable the organisation to fulfil one of its objectives set out in the international charter.

The outcome of the consultation, in addition to an overview of the Framework, was presented to the Executive Team at its meetings on 13 December 2017 and 15 January 2018. All comments and observations have been taken into account.

The following documents have been included as annexes to this paper for consideration of the Board:

- Annex 1 Joint Working Framework
- Annex 3 Implementation Plan

### 4. Financial Implications

Whilst there are no financial implications as a result of approval of the Joint Working Framework it will be necessary to consider any potential financial pressures or opportunities when entering into joint working arrangements.

### 5. Recommendation(s)

The Board is asked to:

- **CONSIDER** the Joint Working Framework; and
- **APPROVE** the Joint Working Framework.
(DRAFT) Joint Working Framework

**Introduction and Aim**

The Public Health Wales Joint Working Framework provides guidance with regard to the establishment of joint working opportunities on local, national and international levels. The Framework outlines how good governance arrangements can support effective and successful joint working, underpinned by strategic and legislative drivers.

The Framework provides the means to assess the suitability of partner organisations through a risk-based approach and sets out the governance and accountability arrangements for the development, approval and monitoring of formal joint working arrangements.

**Linked Policies, Procedures and Written Control Documents**

- Public Health Wales Standing Orders and Reservation and Delegation of Powers
- Declarations of Interest, Gifts, Hospitality and Sponsorship Policy
- Information Governance Policy

**Scope**

This Framework is applicable to staff with responsibilities for working jointly with partner organisations, the development of formal joint working arrangements and the ongoing management of these arrangements.

**Information Governance Note**

Any notes, emails, documents or other records created as a result of the assessment diligence exercise may be disclosable under the Freedom of Information Act (2000)

**Equality and Health Impact Assessment**

Integrated Screening Tool in draft – see Annex 2

<table>
<thead>
<tr>
<th>Approved by</th>
<th>Public Health Wales Board</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval Date</td>
<td>(e.g. 27 June 2016)</td>
</tr>
<tr>
<td>Review Date</td>
<td>(e.g. 27 June 2019)</td>
</tr>
<tr>
<td>Date of Publication</td>
<td>(e.g. 1 July 2016)</td>
</tr>
</tbody>
</table>
Annex 1 – Joint Working Framework

<table>
<thead>
<tr>
<th>Accountable Executive Director/Director</th>
<th>Melanie Westlake, Board Secretary and Head of Corporate Governance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Author</td>
<td>Andrew Richardson, Corporate Governance Manager</td>
</tr>
</tbody>
</table>

**Disclaimer**

If the review date of this document has passed please ensure that the version you are using is the most up to date either by contacting the document author or the Corporate Governance.

**Summary of reviews/amendments**

<table>
<thead>
<tr>
<th>Version number</th>
<th>Date of Review</th>
<th>Date of Approval</th>
<th>Date published</th>
<th>Summary of Amendments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.12 (in draft)</td>
<td>TBC</td>
<td>TBC</td>
<td>TBC</td>
<td><strong>PHWXX – Joint Working Framework</strong> has been developed in response to a governance need identified by the Public Health Wales Board. This is the first version of the document (in draft).</td>
</tr>
</tbody>
</table>
Annex 1 – Joint Working Framework

Contents

1. Introduction ................................................................................................................................. 4
2. Joint Working ............................................................................................................................... 6
   2.1 Our approach to working with others ......................................................................................... 6
   2.2 The Form and Formality of Joint Working Arrangements ......................................................... 7
3. Formal Joint Working Arrangements ............................................................................................ 10
   3.1 Roles and Responsibilities ........................................................................................................ 11
   3.2 Joint Working Assessment ....................................................................................................... 13
   3.3 Considerations before entering into a formal Joint Working Arrangement ............................ 17
   3.4 Proposal for Joint Working ...................................................................................................... 18
   3.5 Development of Joint Working Arrangements .......................................................................... 19
   3.6 Approval Process .................................................................................................................... 20
   3.7 Monitoring and Implementation .............................................................................................. 21
   3.8 Disengaging from a formal Jointing Working Arrangement or other joint working arrangement ......................................................................................................................... 22
   3.9 Record-keeping ....................................................................................................................... 22
1. Introduction

In order to achieve a healthier, happier and fairer Wales, Public Health Wales continually seeks to increase its strategic reach and develop the breadth and depth of its purposeful relationships on local, national and international levels. For Public Health Wales, working with others is about having a shared vision, priorities and concerted strategic action. Innovative joint working is directly supported and promoted by Welsh legislation. The *Well-being of Future Generations (Wales) Act 2015* identifies collaboration as one of the ‘five ways of working’ and actively encourages public bodies to plan for the long term, work better with each other and take a more joined-up approach to addressing problems. To enable this, a multi-agency systems approach across sectors is essential. Public Health Wales needs to work with other bodies to improve the social, economic, environmental and cultural well-being of Wales.

This commitment is recognised in the organisation’s ‘Well-being Statement’ where strengthening Public Health Wales’ role locally, nationally and internationally through engagement is clear. In order to work with others effectively, it is important that Public Health Wales works with the right individuals and organisations in an appropriate way. This involves entering into and developing arrangements that are compatible with, and help enable, Public Health Wales to achieve its mission and strategic priorities, as outlined in the Integrated Medium-Term Plan and the wider public well-being agenda.

The prompt for joint working may come from a variety of sources. There will be occasions when the Welsh Government require the organisation to work with others. Public Health Wales also encourages its staff, at all levels of the organisation, to explore joint working opportunities with new or existing partner organisations. It is recognised that relationship-building may develop on a flexible, informal and iterative basis and can, if required, transition into a more formal arrangement over time. This would require the establishment of more defined, structured arrangements.

This Joint Working Framework (“the Framework”) supports the establishment of informal joint working arrangements, whilst providing an enabling structure in which more formalised joint working can be identified, developed and managed. It will help to ensure that formal joint working arrangements are effective, successful and underpinned by strategic and legislative drivers.

The Framework also provides the means to assess the suitability of partner organisations through a risk-based partner assessment. It sets out the governance and accountability arrangements for the development, approval and monitoring of formal joint working arrangements, when it is necessary to provide assurance to the Public Health Wales Board, how to ensure that risks are

---

2 Provision for Partnership Working is also set out in the Public Health Wales Standing Orders. 5.0.1: “The Trust shall work constructively in partnership with others to plan and secure the delivery of the best possible healthcare for its citizens, in accordance with its statutory duties and any specific requirements or Directions made by the Welsh Ministers.”
Annex 1 – Joint Working Framework
managed and that approaches to joint working are broadly consistent across the organisation.
2. Joint Working

Joint working is an overarching term which can encompass many types of formal or informal collaborative arrangements between Public Health Wales and other local, national or international agencies. Joint working between two or more organisations can be established through either informal or formal means.

Due to the complexity of Public Health Wales’ work, flexibility in the approach to joint working is a necessity. Therefore, the application of this Framework and its composite elements should be proportionate to the nature of the joint working arrangement and the scale and impact of the risks involved.

2.1 Our approach to working with others

Successful and effective joint working takes place between organisations with compatible values, aims and objectives. Furthermore, it is important that the respective values of each organisation are embedded within the joint working arrangements itself to develop mutual understanding and trust. In support of this Framework, four core values for effective joint working have been identified. These are:

- **Equity and Respect** – it is important that the value that each organisation brings to the joint working arrangement is acknowledged. Resource contributions, organisational culture and individual motivations may differ, but the power of the joint working arrangement is built on harnessing each partner organisation’s key strengths.

- **Shared Purpose** – a clearly identified need for the joint working arrangement, underpinned by a shared vision and purpose. Aims/objectives/priorities need to be shared and there needs to be a level of strategic alignment between the partner organisations. It should be noted that objectives may not be clearly defined at the outset, but may develop as the arrangement progresses. Joint working arrangements can, and should, evolve along with the vision and mission of the partner organisations.

- **Transparency** – sharing information as appropriate, maintaining clear lines of communication with strong feedback loops are required.

- **Genuine Commitment** – high-level buy-in/ownership from management who invest the time, people and resources to manage the relationship (capacity) and ensure it is sustainable. This can include the provision of a dedicated point of contact for the relationship.

The benefits of effective joint working are numerous and include: the sharing of resources, knowledge and expertise; access to funding (through joint bids); and the development of innovative operating/delivery models.
2.2 The Form and Formality of Joint Working Arrangements

The form and formality of a Joint Working arrangement should be considered at an early stage.

In order to determine this, which may change over time, it can be useful to consider the following questions:

- What is the scale of the proposed area of work/activity?
- What is the impact that working with that partner organisation will have on Public Health Wales, its mission, vision and strategy?
- What is the level of commitment (including resources)?
- What is the level of risk to Public Health Wales?
- What is the financial commitment?
- Is there a legally binding commitment?

If it is evident that the overall impact on Public Health Wales is likely to be high and of strategic significance, and/or requires a significant commitment in terms of finance or resources, it is likely that a formal joint working agreement is required. In such cases the formal assessment and approval processes set out in this Framework will need to be followed. In some cases, the undertaking of the assessment may help to inform the decision as to whether a formal joint working arrangement is advisable and required, as opposed to an informal one.

Some of the typical types of formal joint working agreements are defined in the table below:

<table>
<thead>
<tr>
<th>Types of formal joint working agreements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Type</strong></td>
</tr>
<tr>
<td>Memorandum of Understanding</td>
</tr>
<tr>
<td>Service Level Agreement</td>
</tr>
<tr>
<td>Annex 1 – Joint Working Framework</td>
</tr>
<tr>
<td>----------------------------------</td>
</tr>
<tr>
<td><strong>Programme Level Agreement</strong></td>
</tr>
<tr>
<td>A Programme Level Agreement (PLA) is similar to an SLA, although narrower in scope as it relates to a specific programme. Such an agreement includes milestones and outcomes.</td>
</tr>
<tr>
<td><strong>Hosting Agreement</strong></td>
</tr>
<tr>
<td>A Hosting Agreement specifies arrangements for a host organisation to provide services and facilities to enable the operation of another independent body. Such agreements are characterised by a light touch, hands-off approach with no legal obligations. The host organisation is not responsible or accountable for setting the direction of the hosted body except where staff of the body hosted is seconded/employed by the host’. Hosting agreements are often supported by more specific Service Level Agreements, e.g. for additional financial/HR support.</td>
</tr>
<tr>
<td><strong>Covenant</strong></td>
</tr>
<tr>
<td>A Covenant is an agreement or written promise between organisations that constitutes a pledge to do or refrain from doing something. Covenants are typically based on a broad set of principles/commitments rather than detailing working arrangements.</td>
</tr>
<tr>
<td><strong>Membership Pledge</strong></td>
</tr>
<tr>
<td>Two or more organisations may agree to collaborate where they have common interests or objectives. They may deem that organisations should be “members” and make a</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

NHS Wales Health Collaborative: Hosting agreement

Armed Forces Covenant

Cymru Well Wales

International Health Charter NHS Wales
“Membership Pledge”. The Membership Pledge is a commitment to work within the spirit of the groups common interests and objectives. aims and objectives. The Pledge does not constitute a legal commitment. Where the organisations commit to provide resources to achieve their common interests and objectives it may be necessary to enter into a specific agreement for that purpose, e.g. and MoU, SLA etc.

| International Health Partnership | An international health partnership, for the purposes of Public Health Wales, is one which is based in Wales in conjunction with partners based outside of Welsh borders. The partnership could include work which is taking or took place over a specific period of time or where there is no specified end date. It may be with a community, institution or organisation, it could involve but is not limited to work with research, information -- |

With regard to agreements that have a legally binding status, e.g. a Service Level Agreement, legal advice is essential to ensure that the specific aims and objectives of the relationship are met and that risks (and mitigations) to Public Health Wales are identified. This can be obtained from NHS Shared Services Partnership (Legal and Risk), accessed in liaison with the Board Secretary and Head of Corporate Governance and the Corporate Services Manager, Quality, Nursing and Allied Health Professionals Directorate.

Where funding is transferred between two organisations that are currently in or plan to be in a joint working arrangement, formal arrangements **must be** established in accordance with the assessment and approval elements of the Framework followed.
3. Formal Joint Working Arrangements

All formal joint working arrangements require robust consideration and approval. This ensures that the decision to enter into such an arrangement is made at the right level, with the right authority. Such decisions should be in accordance with the Public Health Wales Scheme of Delegation and Reservation of Powers.

The process for proposing, developing and approving a formal joint working arrangement is summarised in Figure 1 below³.

Figure 1: Development and Approval of a Formal Joint Working Arrangement

³ It should be noted that there are specific governance arrangements in place for grant writing partnerships – for task and finish groups and research proposals.
Annex 1 – Joint Working Framework

3.1 Roles and Responsibilities

This section provides an overview of staff responsibilities within this Framework. The majority of these responsibilities largely apply in the case of formal joint working arrangements being proposed, developed and approved.

Joint Working Lead(s)

The Joint Working Lead(s) is a Public Health Wales employee responsible for the operational management of the joint working arrangement and acts as liaison between Public Health Wales and the partner organisation(s). The Lead also has responsibility for the development and maintenance of any formal arrangements and supporting the achievement of the agreed aims and objectives.

The Joint Working Lead(s) is designated by the Executive Lead(s) as appropriate and is responsible for drafting the Proposal for Joint Working (see 3.4) and for undertaking the Joint Working Assessment (3.3).

Executive Lead(s)

The Executive Lead(s) – a Public Health Wales Executive Director/Executive Team Member (including, as appropriate, the Director of NHS Wales Health Collaborative) – has overall responsibility for the direction and management of the joint working arrangement. This includes agreeing the aims and objectives and establishing the operational management and governance arrangements for it.

Executive Leads should discuss the required governance arrangements with the Board Secretary and Head of Corporate Governance. The Executive Lead is also responsible for providing assurance reports to the Public Health Wales Board/its committees/the Executive Team as appropriate.

The Senior Leadership Team

The Senior Leadership Team (SLT) is responsible for the peer review of proposals for joint working arrangements where there is a cross-cutting/organisational theme.

As a non-specialist, cross-organisational management group, the SLT are in a position to assess such proposals objectively, including the outcome of the Joint Working Assessment (see 3.2).

Executive Team

The Executive Team is collectively responsible for the approval of all Proposals for Joint Working. This is effectively a business case. This includes consideration of the outcome of the assessment. If the joint working arrangement proposed involves the commitment of resources, financial or otherwise, authorisation will
need to be sought in accordance with the Public Health Wales Scheme of Delegation.

**Board Secretary and Head of Corporate Governance**

The Board Secretary and Head of Corporate Governance provides advice/support during the development of agreements. They are responsible for this Framework and any associated policies, guidance and training, except where there is another designated professional, e.g. Chief Risk Officer for advice on risk assessment.

The Board Secretary, as Head of Corporate Governance, also maintains a centralised register and repository of all agreements and assessments (see 3.9). They will also advise regarding the required scrutiny/assurance arrangements for agreements.

**Chief Risk Officer**

The Chief Risk Officer advises on organisational risk management within Public Health Wales. Any Joint Working Assessment should be considered by the Chief Risk Officer, who is able to provide specialist advice and guidance as required.

**Public Health Wales Board**

The Public Health Wales Board is responsible for the approval of strategic-level joint working arrangements that require the commitment of considerable resource or are likely to have a significant impact on the organisation, or any of its core areas of work.¹

The Board Secretary will be able to provide advice to determine whether this is the case. The Board can delegate responsibility for the approval of other joint working arrangements to the appropriate Board sub-committee.

**Audit and Corporate Governance Committee**

The Audit and Corporate Governance Committee is responsible for the scrutiny of strategic-level joint working arrangements, particularly governance arrangements and progress and performance against agreed objectives. The Committee will also receive assurance on behalf of the Board.

¹ Public Health Wales Standing Order 5.0.2: “The Chair shall ensure that the Board has identified all its key partners and other stakeholders and established clear mechanisms for engaging with and involving them in the work of the Trust through: (1) the Trust’s own structures and operating arrangements, e.g., Advisory Groups; and (2) the involvement (at very local and community wide levels) in partnerships and community groups – such as Public Service Boards – of Board members and officers with delegated authority to represent the Trust and, as appropriate, take decisions on its behalf.
3.2 Joint Working Assessment

Before entering into a formal joint working arrangement that has the potential to have a significant impact on the organisation, it is important to assess the compatibility of the partner organisation to the work, vision and mission of Public Health Wales. This will not only identify potential risks to Public Health Wales, but provide valuable information to inform the decision as to whether the organisation should enter into a joint working arrangement, and if so, its potential benefits, and to what extent this should be formalised.

3.2.1 Approach

Public Health Wales takes a risk-based approach to joint working assessment. The overarching principle is that, before working with any partner organisation, Public Health Wales has a reasonable level of assurance that the partner organisation has the capability to achieve the desired objective(s) and does not pose an unreasonable level of risk to the organisation.

The Public Health Wales’ approach is:

- **Consistent in approach**
  The approach to joint working assessment will be applied consistently across Public Health Wales with regard to all formal partner organisations. This will lead to increased comparability and quality of assessments.

- **Proportionate**
  The scope and depth of the assessment should be proportionate to the risk and resource implications of the proposal. It recognises the balance to be achieved between seeking assurance and the need to minimise unnecessary burden on potential delivery partners. Assessments should be approached on a case-by-case basis with scrutiny and resource targeted towards the areas of assessment where risks are deemed the greatest.

- **Evidence-based**
  Joint Working Assessments should be based on the best and most current, objective and verifiable information available.

- **Transparent**
  The individual/organisation being assessed must be notified that they are being subject to an assessment and agree to share information/data as requested. The outcome of the assessment must also be shared with the partner organisation.

- **Equitable**
  Joint Working Assessments should be undertaken equitably and not favour one organisation above others as this may result in challenge.
Annex 1 – Joint Working Framework

Given the wide range and complex nature of Public Health Wales’ work, it is sensible to recognise that any assessment must be applied on a case-by-case basis, taking account of the context and the risks involved. An assessment of the need to escalate risk or not should also be undertaken.

It should be noted that a number of statutory bodies should have adequate internal controls in place and that a Joint Working Assessment of these bodies is not required. It may however, still be necessary consider whether their values, aims and objectives are consistent with those of Public Health Wales. Any notes, emails, documents or other records created as a result of the assessment exercise may be disclosable under the Freedom of Information Act (2000). Therefore, consideration as to how any personal information should be used in the undertaking of an assessment exercise is essential.

3.2.2 Undertaking the Assessment

A Joint Working Assessment allows for the objective evaluation of a partner organisation’s capacity, systems, policies and processes – to gain a much better understanding of the strengths, weaknesses and risks in working with that organisation. This assessment should only be required when formal arrangements are being made, particularly in the case of making arrangements with private/third sector organisations.

Public Health Wales will work with the partner organisation to facilitate the assessment and request reasonable access to information as required. Reciprocally, Public Health Wales must also consider reasonable requests from the partner organisation.

The Joint Working Lead is responsible for undertaking the assessment. Any interests of those undertaking the assessment should be declared prior to the beginning of the process in accordance with the appropriate provisions set out in the Declarations of Interest, Gifts, Hospitality and Sponsorship Policy. The assessment looks to:

- identify potential key risks presented by the joint working arrangements.
- establish the ethics (and approaches to equality, diversity and inclusion) of the partner organisation and identify potential conflicts of interest.
- enable an assessment of strategic alignment (compatibility) with Public Health Wales’ vision, mission and strategic objectives.
- enable the identification of opportunities that could be realised during the course of the joint working arrangements.

In undertaking an assessment, it is important that a comprehensive profile of the partner organisation is determined, namely; how the organisation is
Annex 1 – Joint Working Framework

governed and controlled, its ability to deliver the objectives of the joint working arrangement, its financial health and its existing joint working arrangements. It is suggested that the following **four assessment areas** are considered:

<table>
<thead>
<tr>
<th>Governance and Control</th>
<th>Ability to Deliver</th>
<th>Financial Health</th>
<th>Partners</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Governance</td>
<td>• Performance</td>
<td>• Financial Viability</td>
<td>• Due Diligence</td>
</tr>
<tr>
<td>• Strategy and Objectives</td>
<td>• Operational Activity</td>
<td>• Financial Management</td>
<td>• Management Framework/</td>
</tr>
<tr>
<td>• Fraud, Bribery and Corruption</td>
<td>• Legal Frameworks and</td>
<td>• Strength of audit</td>
<td>Contracts</td>
</tr>
<tr>
<td>• Internal Controls</td>
<td>Legislative Capabilities</td>
<td>• Value for Money</td>
<td>• Monitoring and Management</td>
</tr>
<tr>
<td>• Risk Management</td>
<td>• Staff Capacity and Capability</td>
<td>• Policies, Procedures</td>
<td>• Fraud, Bribery and</td>
</tr>
<tr>
<td>• Ethics</td>
<td>• Programme Management</td>
<td>and Systems</td>
<td>Corruption</td>
</tr>
<tr>
<td>• Reputation</td>
<td>• Procurement and Logistics</td>
<td>• Ability to commit</td>
<td>• Conflicts of Interest</td>
</tr>
</tbody>
</table>

- **Governance and Control**: This area focuses on an overarching understanding of the profile of the partner organisation – specifically how it is governed and controlled - with a particular focus on: legal and control structures; strategy and objectives; legal status; management structures; internal control systems; risk management; fraud, bribery and corruption; ethics; reputation.

- **Ability to Deliver**: This area provides an understanding and assessment of the organisation’s ability to deliver and focuses on the strength of: the various systems, staff capacity and capability; performance, operational (business) activity and systems; legal frameworks and legislative capabilities; staff capacity and capability; programme management; procurement and logistical systems; Welsh language provision; evidence-based approach/method to work.

- **Financial Health**: This area gives assurance on an organisation’s financial stability. This assessment examines published accounts, source and stability of funding and the management’s ability to properly account for the organisation’s monies in an open and transparent way. This includes: Financial viability; management; strength of audit; policies; procedures and systems. With regard to public sector organisations, an assessment of the ability to commit ongoing resource may be more suitable.
• **Key relationships, partnerships and collaborations** This area assesses the relationships that the organisation has and the existence of any conflicts of interest. This part of the assessment will seek assurance that partner organisations have proper and sufficient assurance systems to monitor partner organisation activity. This may include contracts management and monitoring.

Risk-based judgement will also need to be applied in indentifying which areas of the assessment require deeper scrutiny. For example, if planning to work with a well-established partner organisation in a new area of activity (for that partner) the weight of the assessment may be more focussed on the Ability to Deliver area rather than the Governance and Control area.

Gathering information for the assessment is largely a “desk-based” exercise, with evidence sourced directly through publically available electronic resources e.g. partner organisation’s website, public records, accounts and reports etc. It may be necessary to source information through a direct approach to the partner organisation. With the agreement of the partner organisation, it may be appropriate to collect responses directly; by means of a questionnaire for example.

The findings of the assessment should be shared with the Executive Lead, to inform whether or not the proposed joint working arrangement presents an acceptable level of risk to the organisation and can progress. It is important that the outcome of the assessment is shared with the partner organisation.

Previous experience of any directorate or area that has worked with the partner organisation should also be taken into consideration. Consultation with core corporate functions – e.g. Corporate Governance, People and Organisational Development, Finance and Planning – is recommended if specialist advice and expertise is required.

The Board Secretary and Head of Corporate Governance will provide advice regarding suitable assessment tools.

An Agreements Register (see 3.9.2) is also maintained to enable Joint Working Leads to draw on information already gathered on potential partner organisations.

If the assessment has determined that there is nothing to prevent joint working going ahead, a Proposal for Joint Working must be developed. This must include an overview of the assessment findings and any risks identified during the assessment process.
3.3 Considerations before entering into a formal Joint Working Arrangement

3.3.1 Governance and Accountability

Accountability in formal joint working arrangements is a key factor for long-term success. Defined governance arrangements help to ensure that partner organisations individually deliver on the agreed shared objectives. Mechanisms to monitor progress, evaluate partner organisation actions and enable accountability help to make sure the joint working arrangement is achieving its goals.

The formality and structure of arrangements should be proportionate to the formality of the undertaking and the expected requirements of any such agreement.

Governance considerations which need to be taken into account include (but are not limited to):

- **Decision-making** – this can either be done within each respective organisation’s existing governance structures exclusively or through a joint governing forum, specifically set up to enable the joint working arrangements and ensure decision-making is made jointly. This will very much depend on the nature of the joint working arrangement. Where a joint governing forum exists with decision-making powers, appropriate delegation arrangements must be in place to enable this to happen.
- **Roles and Responsibilities** – if appropriate, the joint working arrangement should provide clarity around the respective roles and responsibilities of each partner.
- **Reporting arrangements** – how the progress/governance of the joint working arrangement is reported through each partner organisation’s respective organisation.
- **Escalation arrangements** – how issues regarding the joint working arrangement can be escalated if objectives are not being reached or in the event of difficulties in making decisions.
- **Risk** – how shared risks are captured and transferred to the risk registers of contributing organisations.
- **Evaluation of the joint working arrangements** – how the effectiveness and success of the joint working arrangement, and its agreed objectives, will be measured.

It should be noted that the Public Health Wales Standing Orders include specific provisions with regard to joint working arrangements with Community Health Councils. Escalation arrangements also exist between health bodies.

---

5 Public Health Wales Standing Order 5.1 – Community Health Councils.
3.3.2 Strategic and Legislative Drivers and Values

Joint working should support the enabling of the organisation’s strategy and/or be driven by the need to fulfil a legislative requirement. It should also be in accordance with the Public Health Wales and NHS Wales values and the prudent healthcare principles.

Any joint working arrangements should be informed by the strategic vision and mission of Public Health Wales and be linked to its strategic priorities as set out in its Integrated Medium-Term Plan (IMTP).

3.3.3 Evaluation and Learning

An important part of Public Health Wales’ approach to joint working is the ability to learn from joint working experiences and identify how and where these could be improved. At the outset a joint working arrangement should identify how it will be evaluated/assessed to identify whether the aims and objectives are being delivered, as well as identify lessons learned in keeping with the principles of continuous improvement.

Evaluation can include:

- measurement of achievement/progress against the agreed aims and objectives;
- financial performance;
- the consistency and strength of communications;
- the effectiveness of leadership and governance structures;
- how data and information was used to inform decision-making;
- an assessment of how the joint working arrangement’s structure and membership has changed over time.

Learning from joint working will enable Public Health Wales to support the future development, and success, of joint working arrangements.

3.4 Proposal for Joint Working

A Proposal for Joint Working is required to set out the business case for the scrutiny of the Executive Team. The proposal should include the:

- rationale for the joint working arrangement – the issue(s) it seeks to address and its aims and objectives/key deliverables (if known).
- an overview of the key drivers – strategic and legislative
- proposed governance arrangements – assurance reports, accountability
- details of operational management – how will the practical outcomes of the joint working arrangements be undertaken, who will manage and monitor progress etc.
Annex 1 – Joint Working Framework

- resources and commitment requirement – what does Public Health Wales need to commit to ensure that the aims and objectives of the joint working arrangements are effective impact on resources
- outcome of the Joint Working Assessment - an identification of the key risks and opportunities that the joint working arrangement could present.

The Proposal should be presented by the Joint Working Lead (via sponsorship of Executive Director) to the Executive Team.

Before any strategic or higher level decisions or recommendations are made Impact Assessments should be completed in support of the proposal. These are used to support the scrutiny process, by identifying the impacts of key areas of potential action. It is recognised that certain proposals or decisions will require a wider consideration of potential impacts, particularly those relating to service change or potential major investment. All proposals must be supported by an Equality and Health impact Assessment.

3.5 Development of Joint Working Arrangements

When it has been agreed that formal agreement between Public Health Wales and another organisation(s) is required the agreement should outline how each organisation discharges its obligations in relation to the joint working.

When drawing up the agreement it should include the following:

- Defined scope and objectives – set out a clear vision of objectives and understanding of mutual benefit (reciprocity).
- Roles and Responsibilities of each organisation – define working arrangements with details of individuals as appropriate.
- Reporting and assurance mechanisms – outline how the work of the joint working arrangement will be monitored and reported to each organisation. Any new governance fora or mechanisms for the joint working framework – e.g. a Partnership Board, will need to take into account the governance structures of each organisation.
- Financial and resource arrangements – outline what each organisation has committed to in terms of resource, how finances will be managed and funding transfers between partner organisations. Include details regarding partner liabilities for any loss, cost, expenses or claims.
- Data and Information – consider how information and data will be shared and clarify intellectual property rights, in accordance with Public Health Wales policies. Specialist advice from the Information Governance team should be sought with regard to any information/data arrangements.
- Review period/ termination – determine an appropriate process and time at which the arrangements can be reviewed, and disengaged from (see
Annex 1 – Joint Working Framework

3.8), as appropriate. This should include any notice period required or exceptions. Periodic reviews allow for the joint evaluation of the effectiveness of the joint working arrangement. A process for disengaging from formal joint working arrangements

- **Equality, Diversity and Welsh Language** – indications how the agreement fits in with equality, diversity and inclusion legislation and Public Health Wales’ organisational values. Consideration should also be given to the Welsh Language.

In developing the agreement, the key risks and mitigations will be identified and agreed. Provisions in the event of any dispute or difference between the partner organisations should also be stipulated.

When an agreement is developed, it is important that due consideration is given to the [NHS Wales Governance Framework](#) and the provisions made in the [Public Health Wales Standing Orders and Scheme of Delegation and Reservation of Powers](#). Any arrangements must also be in accordance with organisational policies and procedures.

Legal advice will need to be sought on any formal agreements. Any agreement will give consideration to how anti-bribery and counter-fraud arrangements are included.

The Policy, Research and International Development directorate can provide advice if an agreement is sought with a Higher Education Institution (HEI) or any other type of research organisations. It is also good practice to share copies of such agreements with the Research and Development division within the directorate to support/foster research across the organisation.

Consideration should be given as to whether any agreements should be made available in alternative formats, e.g. Easy Read.

### 3.6 Approval Process

Once the case for joint working has been produced, the Joint Working Lead is responsible for seeking the approval of the Executive Lead to progress the Proposal for Joint Working.

Proposals will be peer reviewed by the Senior Leadership Team (SLT), where there is a cross-cutting/organisational theme. As an inter-disciplinary group, the SLT will be able to provide comments from an operational business perspective, based on the information provided. The SLT will then consider whether the proposal should be recommended for approval by the Executive Team.

All proposals will then be presented to the Executive Team for consideration and approval.
Annex 1 – Joint Working Framework

If it is determined that a formal joint working arrangement is likely to have a significant organisational impact, the Executive Lead and Board Secretary and Head of Corporate Governance will assess whether it needs to be presented to the Board or an appropriate Committee. Certain high-level or strategically important agreements may require consultation with Welsh Government and other NHS Wales bodies.

3.7 Monitoring and Implementation

3.7.1 Reporting and Governance

Reporting arrangements for formalised joint working should be established in any agreement. Assurance reports on the activity of high-level strategic joint working arrangements may be required at Board and Board Committees (see Roles and Responsibilities above).

Governance arrangements for the management of joint working arrangements should be subject to periodic review. Wales Audit Office and NHS Wales Shared Services Partnership Internal Audit Services may also undertake audits.

3.7.2 The Joint Working ‘Health Check’

A Joint Working ‘Health Check’ should be undertaken to ensure that members of the joint working arrangement are able to review the functionality of the joint working arrangement, and in turn provide the opportunity to refine its working processes, making any necessary amendments to arrangements, processes and focus. The Joint Working Lead is responsible for such an assessment.

In the case of an open-ended arrangement, the frequency of such reviews should be established at the outset, or if there are any material changes to the scope of the joint working arrangements. It is recommended that these are completed annually by members of the joint working arrangements and to consider any recommendations that would benefit the functionality of the joint working arrangement. From such evaluations lessons learned can be derived and focus on these will enable future success.

The Health Check should provide a level of quality assurance to Public Health Wales and its partners regarding the effectiveness of the joint working arrangement. The outcome of the Check should include with governance reporting.
3.8 Disengaging from a formal Jointing Working Arrangement or other joint working arrangement

Some joint working arrangements will be time limited, for example, where they are linked to a grant provided for a specific purpose. Where this not the case it is recognised that there may be a number of reasons why either Public Health Wales or a partner would consider leaving an existing joint working arrangement.

Such a decision should be considered when:
- the aims of the joint working arrangement are no longer consistent with the organisation’s strategic aims and priorities, or the joint working arrangement is not effective in delivering against these.
- the joint working arrangement has achieved its aims or that it was time limited.
- there is duplication across joint working arrangements where amalgamation or revised remits should be considered.
- amendments to external funding sources or legislative framework.
- risks of continuing the joint working arrangements are adverse.

A process for disengaging from joint working should be included within any agreement.

3.9 Record-keeping

3.9.1 Joint Working Assessment Register

A centralised register and repository of assessments will be maintained by the Corporate Governance Directorate. Assessments will remain valid for three years unless material changes have taken place within that timeframe.

3.9.2 Agreements Register

A centralised register and repository of agreements is maintained by Corporate Governance Directorate.

3.9.3 Other related documents

Any other documents such as minutes of meetings should be maintained locally by the Joint Working Lead(s) in accordance with Public Health Wales Guidance on Records Management and Retention.
# Equality & Health Impact Assessment (v 0.3) for Joint Working Framework – Version 1

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> For service change, provide the title of the Project Outline Document or Business Case and Reference Number</td>
<td>Joint Working Framework – Version 1</td>
</tr>
<tr>
<td><strong>2.</strong> Name of Clinical Board / Corporate Directorate and title of lead member of staff, including contact details</td>
<td>Corporate Governance Melanie Westlake, Board Secretary and Head of Corporate Governance Email: <a href="mailto:Melanie.Westlake2@wales.nhs.uk">Melanie.Westlake2@wales.nhs.uk</a> Tel: 029 20104290</td>
</tr>
<tr>
<td><strong>3.</strong> Objectives of strategy/ policy/ plan/ procedure/ service</td>
<td>The Public Health Wales Joint Working Framework (“the Framework”) provides guidance with regard to the establishment of joint working opportunities on local, national and international levels. The Framework outlines how good governance arrangements can support effective and successful joint working, underpinned by strategic and legislative drivers. The Framework provides the means to assess the suitability of partner organisations through a risk-based approach and sets out the governance and accountability arrangements for the development, approval and monitoring of formal joint working arrangements.</td>
</tr>
<tr>
<td><strong>4.</strong> Evidence and background information considered. For example • population data • staff and service users data, as applicable • needs assessment</td>
<td>There was no specific equalities data available. This document is aimed at Public Health Wales staff who are required, within the provisions of this framework, to undertake an Equality and Health Impact Assessment. The framework has been developed based on good practice across sectors.</td>
</tr>
</tbody>
</table>
Annex 2 – DRAFT EHIA

| • engagement and involvement findings | The Chief Risk Officer was consulted with on the framework from a risk perspective prior to the Framework being issued for organisational consultation. The Inclusion and Diversity Manager was also consulted on the equality implications of this work. |
| • research                           | As outlined in 8.1, this assessment found that, by its very nature that the Joint Working Framework has the potential to impact on all groups, communities and individuals, depending on the nature of the joint working arrangements. The document is the overarching Framework and any decisions made within it could impact on any of the protected characteristic groups. Therefore, the detailed impact assessment focuses on the Framework document itself, rather than the potential implications of any joint working arrangements developed from it, which will vary depending on the nature and scale of the arrangement. |
| • good practice guidelines           | The Equality Impact Assessment in Wales Practice Hub provides good practice guidelines which were considered when undertaking this assessment. The 8 Steps to EIA were also followed. |
| • participant knowledge              |                                                    |
| • list of stakeholders and how stakeholders have engaged in the development stages |                                                    |
| • comments from those involved in the designing and development stages |                                                    |

5. Who will be affected by the strategy/ policy/ plan/ procedure/ service

| All Non-Executive Directors, officers and employees of Public Health Wales. |                                                    |
6. EQIA / How will the strategy, policy, plan, procedure and/or service impact on people?

Questions in this section relate to the impact on people on the basis of their 'protected characteristics'. Specific alignment with the 7 goals of the Well-being of Future Generations (Wales) Act 2015 is included against the relevant sections.

<table>
<thead>
<tr>
<th>How will the strategy, policy, plan, procedure and/or service impact on:</th>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1 Age</td>
<td>Any decisions made in developing joint work arrangements within the Framework could potentially impact on any of the protected characteristic groups. The Framework also includes provision for equality and health considerations in the development of joint working arrangements. The document itself does not have a direct impact on this protected characteristic as it should not affect the ability of individuals to read and</td>
<td>None required.</td>
<td>Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
</tbody>
</table>
### How will the strategy, policy, plan, procedure and/or service impact on:–

<table>
<thead>
<tr>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate. Make reference to where the mitigation is included in the document, as appropriate</th>
</tr>
</thead>
<tbody>
<tr>
<td>understand it. The document is not available in Plain English or any alternative formats so people of a different age may have difficulty understanding the content. <strong>Note</strong>: Although this document is available to the public, it is an organisational governance document that will not be typically consulted by a general readership. Thus the impact is limited.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 6.2 Persons with a disability as defined in the Equality Act 2010
Those with physical impairments, learning disability, sensory loss or impairment, mental health conditions, long-term

See 6.1 (above).

Whilst the contents of the policy and procedure do not have a negative impact on persons with a disability, as with all written control documents there may be a

Public Health Wales does have provision for the production of documents that are accessible to persons with disabilities. Alternative versions (to suit the specific needs to
<table>
<thead>
<tr>
<th>How will the strategy, policy, plan, procedure and/or service impact on:-</th>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate. Make reference to where the mitigation is included in the document, as appropriate</th>
</tr>
</thead>
<tbody>
<tr>
<td>medical conditions such as diabetes</td>
<td>negative impact due to the format of the control document that is available. Documents are published on the intranet and internet in pdf format. Visual impairment – not all accessibility software accepts pdf format and therefore an alternative format may be required. Learning disability - The documents may also not be understood by those who have difficulty deciphering or reading the written word, for example, dyslexia. Therefore further explanation and support may be required.</td>
<td>the individual) will be provided on request.</td>
<td></td>
</tr>
</tbody>
</table>
How will the strategy, policy, plan, procedure and/or service impact on:-

<table>
<thead>
<tr>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/ mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate. Make reference to where the mitigation is included in the document, as appropriate</th>
</tr>
</thead>
<tbody>
<tr>
<td>As this document is an organisational governance document it will not be typically consulted by a general readership.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6.3 People of different genders:
Consider men, women, people undergoing gender reassignment

**NB** Gender-reassignment is anyone who proposes to, starts, is going through or who has completed a process to change his or her gender with or without going through any medical procedures. Sometimes referred to as Trans or Transgender

<p>| See 6.1 (above). | None required. | |</p>
<table>
<thead>
<tr>
<th>How will the strategy, policy, plan, procedure and/or service impact on:--</th>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate. Make reference to where the mitigation is included in the document, as appropriate</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>6.4 People who are married or who have a civil partner.</strong></td>
<td>See 6.1 (above).</td>
<td>None required.</td>
<td></td>
</tr>
<tr>
<td><strong>6.5 Women who are expecting a baby, who are on a break from work after having a baby, or who are breastfeeding.</strong> They are protected for 26 weeks after having a baby whether or not they are on maternity leave.</td>
<td>See 6.1 (above).</td>
<td>None required.</td>
<td></td>
</tr>
<tr>
<td><strong>6.6 People of a different race, nationality, colour, culture or ethnic origin including non-English speakers, gypsies/travellers, migrant workers</strong></td>
<td>See 6.1 (above). Documents accessible on the staff intranet/internet are all written and published in English and are not routinely translated into a language that they may understand.</td>
<td>Public Health Wales appreciates the diversity of our population. As with all Public Health Wales documents, consideration will be given to the possibility of providing a translation based on the individual’s needs. This</td>
<td></td>
</tr>
<tr>
<td>How will the strategy, policy, plan, procedure and/or service impact on:</td>
<td>Potential positive and/or negative impacts</td>
<td>Recommendations for improvement/mitigation</td>
<td>Action taken by Clinical Board / Corporate Directorate. Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>6.7 People with a religion or belief or with no religion or belief.</td>
<td>See 6.1 (above).</td>
<td>None required.</td>
<td></td>
</tr>
<tr>
<td>How will the strategy, policy, plan, procedure and/or service impact on:-</td>
<td>Potential positive and/or negative impacts</td>
<td>Recommendations for improvement/mitigation</td>
<td>Action taken by Clinical Board / Corporate Directorate. Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>The term ‘religion’ includes a religious or philosophical belief</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **6.8 People who are attracted to other people of:**  
- the opposite sex (heterosexual);  
- the same sex (lesbian or gay);  
- both sexes (bisexual) | See 6.1 (above). | None required. | |
| **6.9 People who communicate using the Welsh language in terms of correspondence, information leaflets, or service plans and design**  
Well-being Goal – A Wales of vibrant culture and thriving Welsh language | See 6.1 (above).  
Positive – The Framework includes a provision for a Joint Working Assessment of partners. This includes consideration of Welsh language provision. The Framework also advises that any arrangements consider bilingual elements. | This document has been developed with due consideration of the Welsh Language Scheme. The Framework may need to be reviewed in the event of Welsh Language Standards being introduced for Public Health Wales. | |
<table>
<thead>
<tr>
<th>How will the strategy, policy, plan, procedure and/or service impact on:-</th>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Negative – the Framework has not been translated into Welsh. Note: All published documents must consider, and seek views on, the effects that the policy decision under consideration would have on (i) opportunities for persons to use the Welsh language, and (ii) treating the Welsh languages no less favourably than the English language. The Framework may require further review following the introduction of the Welsh Language Standards (Health Sector) Regulations.</td>
<td>Where partnership arrangements are in development, the EHIA undertaken (see 8.1) as part of the partnership development must consider the need for publication in Welsh.</td>
<td>Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
</tbody>
</table>
### How will the strategy, policy, plan, procedure and/or service impact on:

<table>
<thead>
<tr>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate. Make reference to where the mitigation is included in the document, as appropriate</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>6.10 People according to their income related group:</strong> Consider people on low income, economically inactive, unemployed/workless, people who are unable to work due to ill-health</td>
<td>See 6.1 (above).</td>
<td>None required.</td>
</tr>
<tr>
<td><strong>6.11 People according to where they live:</strong> Consider people living in areas known to exhibit poor economic and/or health indicators, people unable to access services and facilities</td>
<td>See 6.1 (above).</td>
<td>None required.</td>
</tr>
<tr>
<td><strong>6.12 Consider any other groups and risk factors relevant to this strategy,</strong></td>
<td>None identified.</td>
<td>None required.</td>
</tr>
</tbody>
</table>
Annex 2 – DRAFT EHIA

<table>
<thead>
<tr>
<th>How will the strategy, policy, plan, procedure and/or service impact on:--</th>
<th>Potential positive and/or negative impacts</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate</th>
</tr>
</thead>
<tbody>
<tr>
<td>policy, plan, procedure and/or service</td>
<td></td>
<td></td>
<td>Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
</tbody>
</table>

7. HIA / How will the strategy, policy, plan, procedure and/or service impact on the health and well-being of our population and help address inequalities in health?

Questions in this section relate to the impact on the overall health of individual people and on the impact on our population. Specific alignment with the 7 goals of the Well-being of Future Generations (Wales) Act 2015 is included against the relevant sections.

<table>
<thead>
<tr>
<th>How will the strategy, policy, plan, procedure and/or service impact on:--</th>
<th>Potential positive and/or negative impacts and any particular groups affected</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>7.1 People being able to access the service offered:</strong> Consider access for those living in areas of deprivation and/or those experiencing health inequalities</td>
<td>The Joint Working Framework is an administrative/governance document and although it does not have a direct impact on the health of the population, the addressing of inequalities in health or the delivery of services, any Health Impact Assessments will be undertaken.</td>
<td></td>
<td>Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
<tr>
<td>How will the strategy, policy, plan, procedure and/or service impact on:--</td>
<td>Potential positive and/or negative impacts and any particular groups affected</td>
<td>Recommendations for improvement/mitigation</td>
<td>Action taken by Clinical Board / Corporate Directorate</td>
</tr>
<tr>
<td>-------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------------------</td>
<td>-------------------------------------------------</td>
</tr>
<tr>
<td>Well-being Goal - A more equal Wales</td>
<td>joint working arrangements could potentially have such an impact. As noted above, an integrated Equality and Health Impact Assessment will need to be undertaken as part of the development of any joint working arrangements.</td>
<td>As above.</td>
<td>As above. Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
</tbody>
</table>

<p>| 7.2 People being able to improve /maintain healthy lifestyles: Consider the impact on healthy lifestyles, including healthy eating, being active, no smoking /smoking cessation, reducing the harm caused by alcohol and /or non-prescribed drugs plus access to services that support disease prevention (eg immunisation and vaccination, falls | As above. | As above. |</p>
<table>
<thead>
<tr>
<th>How will the strategy, policy, plan, procedure and/or service impact on:--</th>
<th>Potential positive and/or negative impacts and any particular groups affected</th>
<th>Recommendations for improvement/mitigation</th>
<th>Action taken by Clinical Board / Corporate Directorate</th>
</tr>
</thead>
<tbody>
<tr>
<td>prevention). Also consider impact on access to supportive services including smoking cessation services, weight management services etc</td>
<td></td>
<td></td>
<td>Make reference to where the mitigation is included in the document, as appropriate</td>
</tr>
<tr>
<td>Well-being Goal – A healthier Wales</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>7.3 People in terms of their income and employment status:</strong> Consider the impact on the availability and accessibility of work, paid/ unpaid employment, wage levels, job security, working conditions</td>
<td>As above.</td>
<td>As above.</td>
<td></td>
</tr>
<tr>
<td>Well-being Goal – A prosperous Wales</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>7.4 People in terms of their use of the physical environment:</strong></td>
<td>As above.</td>
<td>As above.</td>
<td></td>
</tr>
</tbody>
</table>
| How will the strategy, policy, plan, procedure and/or service impact on:— | Potential positive and/or negative impacts and any particular groups affected | Recommendations for improvement/mitigation | Action taken by Clinical Board / Corporate Directorate  
Make reference to where the mitigation is included in the document, as appropriate |
|---|---|---|---|
| Consider the impact on the availability and accessibility of transport, healthy food, leisure activities, green spaces; of the design of the built environment on the physical and mental health of patients, staff and visitors; on air quality, exposure to pollutants; safety of neighbourhoods, exposure to crime; road safety and preventing injuries/accidents; quality and safety of play areas and open spaces  
Well-being Goal – A resilient Wales | | | |
| 7.5 People in terms of social and community influences on their health:  
Consider the impact on family organisation and | As above. | As above. | |
### Annex 2 – DRAFT EHIA

| How will the strategy, policy, plan, procedure and/or service impact on:- | Potential positive and/or negative impacts and any particular groups affected | Recommendations for improvement/mitigation | Action taken by Clinical Board / Corporate Directorate  
Make reference to where the mitigation is included in the document, as appropriate |
|---|---|---|---|
| roles; social support and social networks; neighbourliness and sense of belonging; social isolation; peer pressure; community identity; cultural and spiritual ethos  
Well-being Goal – A Wales of cohesive communities |  |  |  |
| **7.6 People in terms of macro-economic, environmental and sustainability factors:**  
Consider the impact of government policies; gross domestic product; economic development; biological diversity; climate  
Well-being Goal – A globally responsible Wales | As above. | As above. |  |
8. Please answer question 8.1 following the completion of the EHIA and complete the action plan

| 8.1 Please summarise the potential positive and/or negative impacts of the strategy, policy, plan or service | This Equality and Health Impact Assessment found that, by its very nature that the Joint Working Framework has the potential to impact on all groups, communities and individuals, depending on the nature of the collaboration or partnership. As the document is the overarching framework, any decisions made within it could impact on any of the protected characteristic groups.

There is also provision within the Framework for all joint working arrangements in development to be subject to an integrated Equality and Health Impact Assessment. Any formal agreement must also take such considerations into account and must be compatible with Public Health Wales’ organisational values. Therefore, it is expected that the provisions within the framework will encourage greater consideration of equality and health during the development of any joint working arrangement.

In the case of very formal arrangements being developed, the Joint Working Assessment, which seeks to evaluate a partner’s computability with Public Health Wales, also includes a requirement to assess the ethics of a partner, including their approach equality, diversity and inclusion and the Welsh Language.

Therefore, the overall impact of the Framework is likely to be very positive in terms of equality and health impact. |
### Action Plan for Mitigation / Improvement and Implementation

<table>
<thead>
<tr>
<th>Action</th>
<th>Lead</th>
<th>Timescale</th>
<th>Action taken by Clinical Board / Corporate Directorate</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>8.2 What are the key actions identified as a result of completing the EHIA?</strong></td>
<td>- Ensure that the Joint Working Framework is communicated and made accessible to staff appropriately.</td>
<td>Board Secretary/ Head of Corporate Governance</td>
<td>--</td>
</tr>
<tr>
<td><strong>8.3 Is a more comprehensive Equalities Impact Assessment or Health Impact Assessment required?</strong></td>
<td>No – the impact of the Joint Working Framework is expected to be positive.</td>
<td>--</td>
<td>--</td>
</tr>
</tbody>
</table>

This means thinking about relevance and proportionality to the Equality Act and asking: is the impact significant enough that a more formal and full consultation is required?
8.4 **What are the next steps?**

Some suggestions:

- Decide whether the strategy, policy, plan, procedure and/or service proposal:
  
  - continues unchanged as there are no significant negative impacts
  
  - adjusts to account for the negative impacts
  
  - continues despite potential for adverse impact or missed opportunities to advance equality (set out the justifications for doing so)
    
    - stops.
  
- Have your strategy, policy, plan, procedure and/or service proposal approved

- Publish your report of this impact assessment

- Monitor and review

<table>
<thead>
<tr>
<th>Following approval by the Board, publish and promote the revised documentation to staff, providing support where necessary. This assessment will also be published.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Secretary and Head of Corporate Governance</td>
</tr>
<tr>
<td>February 2018</td>
</tr>
</tbody>
</table>
# Implementation Plan

**Policy name:** Joint Working Framework  
**Ref no:** TBC  
**Subject area:** Joint Woking (Partnerships/Collaborations)  
**Accountable Executive Director/Director:** Melanie Westlake, Board Secretary and Head of Corporate Governance  
**Author:** Andrew Richardson, Corporate Governance Manager  
**Version** 1  
**Date:** 8 January 2018

## Implementation plan (with timescales)

<table>
<thead>
<tr>
<th>Timescale</th>
<th>Next steps</th>
<th>Responsible officer(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarter 3 2017-18 (Baseline)</td>
<td>Consultation on draft policy through intranet and targeted emails (By 10 November 2017) – COMPLETE</td>
<td>Corporate Governance Manager</td>
</tr>
<tr>
<td>Quarter 4 2017-18 (Baseline)</td>
<td>To receive support of Business Executive Team (meeting on 15 January 2018) to take Framework to Board meeting for approval</td>
<td>Board Secretary and Head of Corporate Governance</td>
</tr>
<tr>
<td>Task</td>
<td>Responsible</td>
<td></td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Board meeting scheduled for 25 January 2018 to consider approval</td>
<td>Board Secretary and Head of Corporate Governance</td>
<td></td>
</tr>
<tr>
<td>of the Framework</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To publish (subject to approval) Framework on the intranet w/c 29</td>
<td>Corporate Governance Manager</td>
<td></td>
</tr>
<tr>
<td>January 2018</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To explore avenues of promotion of Framework with Communications</td>
<td>Corporate Governance Manager</td>
<td></td>
</tr>
<tr>
<td>Team (by 29 January 2018)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop and Maintain the Corporate Register of Agreements and the</td>
<td>Board Secretary and Head of Corporate Governance /</td>
<td></td>
</tr>
<tr>
<td>Joint Working Assessment Register. Periodically receive assurance</td>
<td>Corporate Governance Manager</td>
<td></td>
</tr>
<tr>
<td>of the arrangements within the terms of the memoranda and agreements.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Feedback**

**Amendments required to policy**

<table>
<thead>
<tr>
<th>Completed by (Policy Lead):</th>
<th>Andrew Richardson, Corporate Governance Manager</th>
<th>Date: 8/01/2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board/Committee approval:</td>
<td>pending</td>
<td>Date: dd.mm.yyyy</td>
</tr>
</tbody>
</table>