

Date of meeting	17 July 2018
Paper number	F4

Freedom to Speak Up Guardian Update Report

For approval:		For assurance:		To note:	X
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Accountable Director	Tina Ricketts Director of People & Culture		
Presented by	Tina Ricketts Director of People & Culture	Author	Bryan McGinity FTSU Guardian

Alignment to the Trust's strategic priorities					
Deliver safe, high quality, compassionate patient care	X	Design healthcare around the needs of our patients, with our partners		Invest and realise the full potential of our staff to provide compassionate and personalised care	X
Ensure the Trust is financially viable and makes the best use of resources for our patients	X	Develop and sustain our business	X		

Alignment to the Single Oversight Framework					
Leadership and Improvement Capability	X	Operational Performance		Quality of Care	
Finance and use of resources	X	Strategic Change		Stakeholders	

Report previously reviewed by		
Committee/Group	Date	Outcome
People and Culture Committee	9 th July 2018	Progress noted

Assurance: Does this report provide assurance in respect of the Board Assurance Framework strategic risks?	N	BAF number(s)	N/A
Assurance in respect of: process/outcome/other (please detail)			
Significant assurance <input type="checkbox"/> <i>High level of confidence in delivery of existing mechanisms/objectives</i>	Moderate assurance <input checked="" type="checkbox"/> <i>General confidence in delivery of existing mechanisms/objectives</i>	Limited assurance <input type="checkbox"/> <i>Some confidence in delivery of existing mechanisms/objectives</i>	No assurance <input type="checkbox"/> <i>No confidence in delivery</i>

Recommendations	The Board is asked to: <ul style="list-style-type: none"> Note the expectations of NHS Improvement and the National Guardians Office in relation to the Freedom to Speak Up agenda. Approve the self-review assessment in appendix 1 Agree to bi-annual updates on progress as part of the Freedom to Speak Up Guardian's report to Board Approve the updated Freedom to Speak Up Policy in appendix 2
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Executive Summary

As a Trust we are making positive progress in Freedom to Speak Up, following the appointment of the Freedom to Speak Up Guardian last year. Effective speaking up arrangements help to protect patients and improve the experience of NHS workers. Having a healthy speaking up culture is evidence of a well-led Trust and we are having some positive results in finding early resolution following the guardian's appointment.

NHS Improvement and the National Guardian's Office have published a guide dated May 2018 setting out expectations of boards in relation to Freedom to Speak Up (FTSU) to help boards create a culture that is responsive to feedback and focused on learning and continual improvement. The guide includes a self-review tool against the standards expected which enables boards to carry out in-depth reviews of leadership and governance arrangements in relation to FTSU and identify areas to develop and improve. The Care Quality Commission (CQC) assesses a Trust's speaking up culture during inspections under key line of enquiry (KLOE) 3 as part of the well-led section. The guide is aligned with the good practice set out in the well-led framework.

With this in mind, the Trust has completed the self-review tool (**see appendix 1**), which shows that the Trust is already compliant with 32 (46%) of the 69 indicators and can evidence that progress is being made in the remaining 37 areas.

An action plan is being developed through the Freedom to Speak up Working Group, which will be shared with the People and Culture Committee in September. The action plan will help the Trust to evidence the positive work that has been undertaken and show the Board's commitment to embedding speaking up within the culture of the Trust.

The Trust has updated its Freedom to Speak Up Policy in light of best practice and this is presented to the Board (**appendix 2**) for approval.

Background

The self-review shows progress made to date and identifies further areas of improvement for consideration by the Board in developing a healthy speaking up culture.

The Trust's Freedom to Speak Up Policy needed updating in light of the best practice guidance issued by the National Guardian's office.

Issues and options

The Trust has undertaken a self-assessment (**see appendix 1**) against all 69 recommendations in regards to:

- Whether the Trust is currently meeting the recommendation
- Identifying the principle actions for areas of development
- How the board will seek assurance that the recommendations are being met

This shows that the Trust is already compliant with 32 (46%) of the 69 indicators and can evidence that progress is being made in the remaining 37 areas.

Updated Freedom to Speak Up Policy

The Trust's policy has been updated in line with best practice and has been reviewed by the Trust Leadership Group, Joint Negotiating and Consultative Committee and Key Document Assurance Group. The updated policy is presented **in appendix 2** for Board approval.

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Recommendations
<p>The Board is asked to:</p> <ul style="list-style-type: none"> • Note the expectations of NHS Improvement and the National Guardians Office in relation to the Freedom to Speak Up agenda. • Approve the self-review assessment in appendix one • Agree to bi-annual updates on progress as part of the Freedom to Speak Up Guardian's report to Board
<p>Appendices:</p> <p>Appendix 1 – Freedom to Speak Up self-review</p> <p>Appendix 2 – FTSU Policy</p>

Freedom to Speak Up self-review tool for NHS trusts and foundation trusts

May 2018

How to use this tool

Effective speaking up arrangements help to protect patients and improve the experience of NHS workers. Having a healthy speaking up culture is evidence of a well-led trust.

NHS Improvement and the National Guardian's Office have published a [guide](#) setting out expectations of boards in relation to Freedom to Speak Up (FTSU) to help boards create a culture that is responsive to feedback and focused on learning and continual improvement.

This self-review tool accompanying the guide will enable boards to carry out in-depth reviews of leadership and governance arrangements in relation to FTSU and identify areas to develop and improve.

The Care Quality Commission (CQC) assesses a trust's speaking up culture during inspections under key line of enquiry (KLOE) 3 as part of the well-led question. This guide is aligned with the good practice set out in the well-led framework, which contains references to speaking up in KLOE 3 and will be shared with Inspectors as part of the CQC's assessment framework for well-led.

Completing the self-review tool and developing an improvement action plan will help trusts to evidence their commitment to embedding speaking up and help oversight bodies to evaluate how healthy a trust's speaking up culture is.

Self review indicator (Aligned to well-led KLOEs)	To what extent is this expectation being met?	What are the principal actions required for development?	How is the board assured it is meeting the expectation? Evidence
Our expectations			
Leaders are knowledgeable about FTSU			
1 Senior leaders are knowledgeable and up to date about FTSU and the executive and non-executive leads are aware of guidance from the National Guardian's Office.	The Board has a comprehensive knowledge of FTSU and National Office bulletins		Bi annual FTSU Board presentations by the Guardian. Ad hoc reports by the Director of People and Culture e.g. this review.
2 Senior leaders can readily articulate the trust's FTSU vision and key learning from issues that workers have spoken up about and regularly communicate the value of speaking up.	Limited at this stage	Create and promote the Trust's FTSU Vision. Guardian and FTSU committee to develop key learning action plan. Regular FTSU briefings	Presentation of FTSU Vision and aligned learning action plan
3 They can provide evidence that they have a leadership strategy and development programme that emphasises the importance of learning from issues raised by people who	This issue has been raised by People and culture Committee and through FTSU	The Trust's leadership plan is in development. Learning from issues under review and when complete,	Reports from People and Culture Committee on leadership development. FTSU Guardian report on

Speak up.	concerns record.	(recommendations and data to be published by FTSU Guardian)	learning from issues.
4 Senior leaders can describe the part they played in creating and launching the Trust's FTSU vision and strategy.	This is limited but is in process of development	<p>Quarterly meetings with CEO and Guardian.</p> <p>Quarterly meeting with Acting Chair and Guardian</p> <p>Board to receive and confirm Vision and Strategy</p> <p>Trust Leadership Group to receive regular FTSU updates</p>	Bi annual Board reports
Leaders have a structured approach to FTSU			
5 There is a clear FTSU vision, translated into a robust and realistic strategy that links speaking up with patient safety, staff experience and continuous improvement.	Drafted but not yet fully circulated.	<p>Draft issued to FTSU Committee, Chair and Director of People and Culture Director for comment.</p> <p>Patient safety is assessed by a variety of means including executive ward visits, monthly board reports etc.</p> <p>Staff experience included in Staff Surveys and 4WARD data.</p> <p>Continuous improvement covered</p>	<p>Report from People and Culture Committee re FTSU vision.</p> <p>These three points are contained within monthly Board reports</p>

		under quality strategy	
6 There is an up-to-date speaking up policy that reflects the minimum standards set out by NHS Improvement.	Policy updated and issued to board for approval using National best practice examples	Board review of policy in July Board. The FTSU Guardians will advise on national guidance that will influence future improvements.	Board reports from People and Culture Committee and FTSU Guardian.
7 The FTSU strategy has been developed using a structured approach in collaboration with a range of stakeholders (including the FTSU Guardian) and it aligns with existing guidance from the National Guardian.	The FTSU Strategy is being developed using National , regional and local knowledge	The Board to receive the FTSU Vision and Strategy	Annual review of FTSU Strategy to be presented to the Board by the Guardian
8 Progress against the strategy and compliance with the policy are regularly reviewed using a range of qualitative and quantitative measures.	This will be assessed upon completion and adoption of the strategy	Feedback activity being developed by Guardian, Champions and FTSU Committee. Qualitative and quantitative measures require definition	Sight of initial strategy and action plan and follow up on measures via People and Culture and FTSU Guardian Board reports
Leaders actively shape the speaking up culture			
9 All senior leaders take an interest in the Trust's speaking up culture and are proactive in developing ideas and	All Senior leaders are aware of the FTSU programme.	Regular FTSU reports/ presentations to the Trust Leadership Group	Board reports and input to Board conversations

initiatives to support speaking up.			
10 They can evidence that they robustly challenge themselves to improve patient safety, and develop a culture of continuous improvement, openness and honesty.	The leaders can evidence via the Board and Committee minutes their challenges on these issues	These are three different elements which are within a range of safety reports and culture reports, the area for development is evidence of continuous Improvement and the need to determine how this is tackled	Via Board and Committee meetings as evidenced within the minutes of Board meetings and Committee meetings.
11 Senior leaders are visible, approachable and use a variety of methods to seek and act on feedback from workers.	This is an issue raised within staff concerns and discussions.	The new divisional organisational charts should help. As will a consistent number of executive and non-executive ward and departmental visits. The divisional teams should adopt a formal rota of visits in order to ensure they are more visible.	The Board will be evidenced by staff survey information, 4WARD data and the learning from FTSU concerns, as well as dialogue with staff on their ward and departmental visits.
12 Senior leaders prioritise speaking up and work in partnership with their FTSU Guardian.	FTSU is a standing agenda item at divisional and team meetings	The Guardian's contact with Senior leaders is very transparent and has no restrictions.	The Leaders visible support of the Guardian and Champions on supporting FTSU.
13 Senior leaders model speaking up by acknowledging mistakes and making improvements.	This can be evidenced through the Trust's 4ward signature	We do this by Self reflections of Trust Leadership	Through 4Ward Reports to the Board.

	behaviours	Group Duty of Candour	Net Culture Score
14 The board can state with confidence that workers know how to speak up; do so with confidence and are treated fairly.	This is an improving position but with pockets of the organisation still not confident	The continued marketing and promotion of the FTSU programme. The positive responsiveness shown by the Guardian and Champions. The promotion of learning from FTSU cases	Staff survey annual data FTSU reports to Board and People and Culture Committee
Leaders are clear about their role and responsibilities			
15 The trust has a named executive and a named non-executive director responsible for speaking up and both are clear about their role and responsibility.	NED is Steve Williams. Executive Lead is the Chief Executive	The lead NED has been briefed on the NHSI guidance and has regular reviews with the Guardian. The Guardian has quarterly meetings with the Chief Executive.	FTSU reports to Board and People and Culture Committee
16 They, along with the chief executive and chair, meet regularly with the FTSU Guardian and provide appropriate advice and support.	Regular meetings held quarterly via People and culture committee and the Board		Minutes of people and Culture Committee and the Board

17 Other senior leaders support the FTSU Guardian as required.	The Guardian reports no issues re support	The Guardian feeds back to the CEO and Chair any issues or concerns with Senior leader support	FTSU reports to Board and People and Culture Committee
Leaders are confident that wider concerns are identified and managed			
18 Senior leaders have ensured that the FTSU Guardian has ready access to applicable sources of data to enable them to triangulate speaking up issues to proactively identify potential concerns.	The triangulation of data is being developed by the FTSU Committee	The issue is the practicality of triangulating data from the various parts of the organisation e.g. Datix, HR cases, staff side issues, Occupational Health Issues, etc.	FTSU reports to Board and People and Culture Committee
19 The FTSU Guardian has ready access to senior leaders and others to enable them to escalate patient safety issues rapidly, preserving confidence as appropriate.	Whenever the Guardian has had a concern on patient safety he has had immediate access to the Chief Nurse or her deputies for review and action	To ensure that the Guardian maintains this open access	FTSU Guardian reports on any issues via the biannual reports to Board or urgent immediate requests to the CEO or Chair
Leaders receive assurance in a variety of forms			
20 Workers in all areas know, understand and support the FTSU	Promotion of the programme has been via pay slips,	Following Board approval of the Policy in July a new promotion	The senior leaders will be able to assess this during their ward and

vision, are aware of the policy and have confidence in the speaking up process.	screensavers, whiteboards, staff meetings, divisional presentations etc.	programme will be launched	departmental visits. We have inserted a question in the quality visit template
21 Steps are taken to identify and remove barriers to speaking up for those in more vulnerable groups, such as Black, Asian or minority ethnic (BAME), workers and agency workers	We are not aware of any issues but are using learning from regional and national colleagues, as well as our own 4WARD programme, to ensure that we maximise the access to every member of staff	Use the regional and national learning to respond to any issues on any form of restricted access by vulnerable groups.	To use the board reports to audit access and to also ask for any issues during their ward and departmental visits.
22 Speak up issues that raise immediate patient safety concerns are quickly escalated	Yes as per responses to questions 10 and 19		
23 Action is taken to address evidence that workers have been victimised as a result of speaking up, regardless of seniority	There has been no evidence of victimisation.	The activity by the Guardian emphasises the confidentiality and maintains contact with each relevant staff member to ensure that this is not an issue.	Evidence would be gathered via their visits to wards and departments as well as the staff survey
24 Lessons learnt are shared widely both within relevant service areas and	Lessons learnt are in process of being developed from July	Lessons learnt are in process of development by the FTSU Committee, Guardian and the	FTSU reports to Board and People and Culture

across the trust	2018	Champions	Committee
25 The handling of speaking up issues is routinely audited to ensure that the FTSU policy is being implemented	There is an annual review by Audit and Assurance committee of the process of Policy implementation	The audit needs building into the annual audit programme from 2019/2020	Audit and assurance committee report to the Board.
26 FTSU policies and procedures are reviewed and improved using feedback from workers	The procedures are continually reviewed particularly by feedback from the Champions as well as other staff and the Guardian.	The FTSU committee to annually review the policy in order to ensure that it is effective to the needs of the organisation.	FTSU reports to Board and People and Culture Committee
27 The board receives a report, at least every six months, from the FTSU Guardian.	Yes- actioned	In the Board programme	The presentation bi – annually by the FTSU Guardian to the Board
Leaders engage with all relevant stakeholders			
28 A diverse range of workers' views are sought, heard and acted upon to shape the culture of the organisation in relation to speaking up; these are	Improvements are sought via the meetings with staff, champions and the representatives on the	No specific action - just to use the FSTU action plan to cover any issues and suggestions	Via People and Culture Committee and the Board reports as well as ward and departmental visits.

reflected in the FTSU vision and plan.	FTSU Committee		
29 Issues raised via speaking up are part of the performance data discussed openly with commissioners, CQC and NHS Improvement.	FTSU Board reports are shared with commissioners, CQC and NHS I		Feedback from Regulators and Commissioners
30 Discussion of FTSU matters regularly takes place in the public section of the board meetings (while respecting the confidentiality of individuals).	Yes the FTSU Guardian report is in the public board meeting	This is already actioned	Ensure FTSU Guardian report always comes to the Public Board
31 The trust's annual report contains high level, anonymised data relating to speaking up as well as information on actions the trust is taking to support a positive speaking up culture.	More detail to be included in annual report	Further detail in annual report	Annual report is submitted to Board for approval
32 Reviews and audits are shared externally to support improvement elsewhere.	FTSU Guardian part of regional and national networks	The Trust submits regular returns to the national FTSU office	FTSU reports to Board and People and Culture Committee
33 Senior leaders work openly and positively with regional FTSU Guardians and the National Guardian to continually improve the trust's	Senior leaders support attendance at regional and national events	The Trust submits regular returns to the national FTSU office	FTSU reports to Board and People and Culture Committee

speaking up culture			
34 Senior leaders encourage their FTSU Guardians to develop bilateral relationships with regulators, inspectors and other local FTSU Guardians	The Guardian includes these contacts in his normal activity	These are already part of the Guardian's role and programme	The Board to note on its FTSU reports
35 Senior leaders request external improvement support when required.	The Trust would seek support from NHS Improvement if necessary		
Leaders are focused on learning and continual improvement			
36 Senior leaders use speaking up as an opportunity for learning that can be embedded in future practice to deliver better quality care and improve workers' experience.	This will be developed through the FTSU committee and the Guardian in the second half of 2019	Await the Guardian and FTSU committee's recommendations	Review recommendations in late 2019
37 Senior leaders and the FTSU Guardian engage with other trusts to identify best practice.	The Guardian has contact with other Trusts via regional and national meetings which he always attends and advises	The Guardian as well as his regional and national contacts has also set up reviews with Gloucestershire as well as the Worcestershire Health and Care	The Board to note / question in their FTSU reports.

	the FTSU Committee of best practice learning	Trust	
38 Executive and non-executive leads, and the FTSU Guardian, review all guidance and case review reports from the National Guardian to identify improvement possibilities.	The Guardian and FTSU committee have reviewed case reviews and national guidance and included it in the Guardian's action plan	To finalise the FTSU Guardian's action plan	To note the action plan review and updating in their FTSU Board reports.
39 Senior leaders regularly reflect on how they respond to feedback, learn and continually improve and encourage the same throughout the organisation.	Await the feedback review and action plan	The feedback review to be agreed on timing and updating at the FTSU committee	To receive initial feedback in the November 2018 FTSU Guardian report and bi-annually thereafter
40 The executive lead responsible for FTSU reviews the FTSU strategy annually, using a range of qualitative and quantitative measures, to assess what has been achieved and what hasn't; what the barriers have been and how they can be overcome; and whether the right indicators are being used to measure success.	The CEO as FTSU Executive lead meets with the FTSU Guardian quarterly to reviews all aspects of the FTSU programme and its barriers, weaknesses and successes	To ensure that the report to the CEO as Executive lead enables her to perform this review thoroughly	Via the CEO's report to Board as well as the FTSU Guardian's reports to the Board and the People and Culture Committee

<p>41 The FTSU policy and process is reviewed annually to check they are fit for purpose and realistic; up to date; and takes account of feedback from workers who have used them.</p>	<p>The initial review was actioned from September 2017 and went through the final approval process in July 2018.</p>	<p>The next review will be June 2019 but the Guardian and FTSU committee will advise of improvements during the year</p>	<p>Confirmation by Audit and Assurance and the Company Secretary that the Policy is updated and valid.</p>
<p>42 A sample of cases is quality assured to ensure:</p> <ul style="list-style-type: none"> the investigation process is of high quality; that outcomes and recommendations are reasonable and that the impact of change is being measured workers are thanked for speaking up, are kept up to date though out the investigation and are told of the outcome Investigations are independent, fair and objective; recommendations are designed to promote patient safety and learning; and change will be 	<p>The Audit plan in 2019 will commence this review.</p> <p>The Guardian through his monthly reviews verifies all these outcomes at present</p>	<p>It is envisaged that the development of the case management tool for HR cases will subsequently be applied to the FTSU cases and will support these reviews for FTSU.</p>	<p>To receive the annual audit review in due course and the FTSU Guardian's own review data</p>

monitored			
43 Positive outcomes from speaking up cases are promoted and as a result workers are more confident to speak up.	This will be determined upon the results of the feedback programme	The FTSU Committee will review the appropriate application of the promotion of positive outcome cases on a regular basis.	The Board will view within the FTSU Board report as well as People and Culture Committee feedback.
Individual responsibilities			
Chief executive and chair			
44 The chief executive is responsible for appointing the FTSU Guardian.	The appointment followed procedure which included the attendance of the Trust Chair, the Regional Guardian lead and the FTSU Committee chair as the interview team.	Any future re-appointments will follow this procedure	As and when re-appointments are made to ensure that the process is followed.
45 The chief executive is accountable for ensuring that FTSU arrangements meet the needs of the workers in their trust.	The CEO covers this in her assessment of the performance of the FTSU programme within the Trust and any need for changes /	To apply an assessment of the progress of the FTSU programme and the need for relevant improvements/ changes	To receive updates from the CEO and the FTSU Guardian through Board reports.

	improvements.		
46 The chief executive and chair are responsible for ensuring the annual report contains information about FTSU.	Further detail to be added to annual report	To ensure the data is within the annual report	View the annual report.
47 The chief executive and chair are responsible for ensuring the trust is engaged with both the regional Guardian network and the National Guardian's Office.	The Guardian has the prime role for this and advises the Chair and CEO if there are any issues.	The Guardian to ensure in the quarterly updates that any concerns are raised	To ensure that the FTSU Guardian's reports covers these elements.
48 Both the chief executive and chair are key sources of advice and support for their FTSU Guardian and meet with them regularly.	The CEO and Guardian meet quarterly, The first meeting of the new Chair with Guardian is on June 27 th 2018	Meetings are set in the diary	The Guardian to raise all requests for support and advice with the CEO and Chair and thereafter with the Board if this is appropriate.
Executive lead for FTSU.			

49 Ensuring they are aware of latest guidance from National Guardian's Office.	The weekly bulletins from national office are issued to the Guardian, he passes on any relevant information and guidance to the CEO	Ensure that this transfer of information is effective by reviewing in each quarterly meeting of CEO and Guardian	Board to be updated in their bi-annual report.
50 Overseeing the creation of the FTSU vision and strategy.	The vision and strategy have been drafted. The approval is with FTSU Committee	The FTSU committee to review the Vision Strategy and action plan and feedback status to the CEO as and when appropriate	To be covered within the quarterly CEO/Guardian meeting
51 Ensuring the FTSU Guardian role has been implemented, using a fair recruitment process in accordance with the example job description and other guidance published by the National Guardian.	Already actioned as in Q44	In recruitment Procedure	Actioned
52 Ensuring that the FTSU Guardian has a suitable amount of ring fenced time and other resources and there is cover for planned and unplanned absence.	The agreed time of 3 days a week is suitable. With electronic mail there is no requirement so far for any additional	Review time allocation maybe on an annual basis within FTSU committee and CEO meeting	To be covered in CEO reports to Board

	cover		
53 Ensuring that a sample of speaking up cases have been quality assured.	To be included in the report to the Audit and Assurance Committee		Audit and Assurance reports to the Board
54 Conducting an annual review of the strategy, policy and process.	<i>Already covered in Q4.</i>		
55 Operationalising the learning derived from speaking up issues.	<i>Already answered in Q36</i>		
56 Ensuring allegations of detriment are promptly and fairly investigated and acted on.	All concerns raised are dealt with promptly by the F2SU Guardian	To ensure that the Guardian maintains this open access	FTSU Guardian reports on any issues via the biannual reports to Board or urgent immediate requests to the CEO or Chair
57 Providing the board with a variety of assurance about the effectiveness of the trusts strategy, policy and process.	By review of the FTSU Guardian's programme and using triangulation from senior Staff and other staff	Continually use tri-angulation to monitor assessment as well as the formal reports	CEO to update the Board alongside the Guardian's report
Non-executive lead for FTSU			

58 Ensuring they are aware of latest guidance from National Guardian's Office.	To seek to be on circulation of National Office guidance bulletins	To arrange to be on circulation list and also to seek reviews with the Guardian	Advise the Board on any issues and guidance
59 Holding the chief executive, executive FTSU lead and the board to account for implementing the speaking up strategy.	To hold a formal review on a biannual basis alongside the FTSU Guardians Board presentation	To set up process to review this aspect	The Board to be updated pre or post the bi-annual FTSU Guardian's report
60 Robustly challenge the board to reflect on whether it could do more to create a culture responsive to feedback and focused on learning and continual improvement.	For discussion at a Board development session		
61 Role-modelling high standards of conduct around FTSU.	For discussion at a Board development session		
62 Acting as an alternative source of advice and support for the FTSU Guardian.	Hold regular independent reviews with Guardian to review this aspect.	Set up regular independent reviews with Guardian. Also be available as and when requested by the Guardian	Assess in meetings with the Guardian on the relevance of this support and advice

63 Overseeing speaking up concerns regarding board members.	To action on an as and when basis.	To review with the Guardian on any potential concerns involving Board members	To feed data on any concerns raised into the learning and cases reports
Human resource and organisational development directors			
64 Ensuring that the FTSU Guardian has the support of HR staff and appropriate access to information to enable them to triangulate intelligence from speaking up issues with other information that may be used as measures of FTSU culture or indicators of barriers to speaking up.	This works well and each understands their particular role and the confidential aspects of the relevant triangulation.	<p>To help develop the HR case management system and then to apply to the FTSU cases.</p> <p>To support the FTSU committee in developing a more robust tri-angulation of issues and themes</p>	To assure through the People and Culture Committee reports and the Board reports that the tri-angulation process has appropriate support
65 Ensuring that HR culture and practice encourage and support speaking up and that learning in relation to workers' experience is disseminated across the trust.	The link of the FTSU programme and the 4WARD programme, as led by the CEO, will enable a clear statement of the culture of an open and transparent organisation.	The culture changes across three different sites and a Trust in special measures will be a challenging task but the senior team are committed and will reflect this in the 4ward programme, including the learning features when they become clear from the reviews	To question the likely issues and offer practical support to the team to deliver the objective.

66 Ensuring that workers have the right knowledge, skills and capability to speak up and that managers listen well and respond to issues raised effectively.	The staff have an increasing access to and knowledge of the FTSU programme. Managers need an opportunity and training to build up their confidence in dealing with difficult issues and speaking up.	To support the further promotion and knowledge of FTSU across all sites and types and roles of employees, volunteers and contractors. Organisational development to lead on the training of managers in dealing with concerns and difficult situations and encouraging their staff to speak up	To use staff survey data together with dialogue with managers to assess performance on having knowledge and feeling free to speak up
Medical director and director of nursing			
67 Ensuring that the FTSU Guardian has appropriate support and advice on patient safety and safeguarding issues.	The support has always been available when requested by the Guardian on patient safety issues. Safeguarding is normally dealt with separately by the safeguarding team.	Maybe bi-annual reviews with Medical Director's team to mirror the bi-annual meeting with Director of Nursing's team already being held.	Seek collaboration from the Medical Director and the Director of Nursing to support these actions and meetings.
68 Ensuring that effective and, as appropriate, immediate action is taken	This is seen as a priority and appropriate action has been taken	The Guardian to raise any concerns on lack of support with	Through Board and People and Culture

when potential patient safety issues are highlighted by speaking up.	to date	the CEO	Committee reports
69 Ensuring learning is operationalised within the teams and departments that they oversee.	The issue will be actioned followed up upon the issue of the learning reports in July 2018 onwards	The Chief Operating Officer, Medical Director and Director of Nursing to follow-up when appropriate	The Board to ensure that the learning is fully utilised across the Trust

Freedom to Speak Up (Raising Concerns) Policy

Department / Service:	Human Resources
Originator:	Freedom to Speak Up Guardian
Accountable Director:	Director of People and Culture
Approved by:	JNCC
Date of first approval:	This policy replaces the previous Raising Concerns Whistleblowing Policy (July 2015)
Latest Revision:	April 2018
Next Revision:	April 2020
Target Organisation(s)	All Trust staff, contractors and volunteers
Target Departments	All
Target staff categories	All

Purpose of this Policy:

Worcestershire Acute Hospitals NHS Trust is committed to achieving the highest possible standards/duty of care and the highest possible ethical standards in public life and in all of its practices. To achieve these ends, it encourages freedom of speech.

The Trust is committed to creating an environment and climate of openness where staff, workers and volunteers feel empowered to raise concerns. This policy is intended to deal with any concerns about serious risks, improper practices at work or any form of unacceptable behavior. Please note that other policies are available to deal with concerns that relate to employment issues.

Staff should feel able to raise concerns in a climate of openness so that issues can be addressed at an early stage, in the right way, without fear of penalty or reprisal.

This policy guides individuals on how they should bring such concerns to the attention of the Trust and sets out the Trust's approach when concerns are raised to ensure the matter can be appropriately dealt with.

Freedom to Speak Up Policy		
WAHT-HR-051	Page 1 of 26	Version 1 April 2018

Key amendments to this Document:

Date	Amendment	By:
Feb 14	Revised policy replaces the previous version and incorporates amendments to the legislative framework and NHS Employers guidance	Julia Cross/ Sarah Woodall
June 15	Revised policy to incorporate latest guidance and updates including; NHS Employers Guidance “Drawing the Line – a managers guide to raising concerns February 2015”, detailed information on roles and responsibilities, enhanced guidance for investigating concerns raised with a model process flowchart	Julie Stupart
March 2018	Policy reviewed and re-written in line with NHS Employers Model Policy for Freedom to Speak Up	Deb Drew/Bryan McGinity/Natalie Wurmlli

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1. Introduction

Worcestershire Acute NHS Trust (WAHT) is committed to the provision of high quality health care in all aspects of its services to patients, visitors, local community and employees. The Trust recognises that there may be occasions where individuals have concerns about what is happening at work. Although concerns may often be easily resolved at a local level, it can be difficult for people to know what to do if the concerns are about any of the following:

- Malpractice or ill treatment of a patient
- Abuse of patient's rights
- Criminal activity
- Danger to health, safety, or the environment
- Financial malpractice (fraud, corruption, bribery)
- Wrongful disclosure of confidential information regarding patients or employees
- Unfair recruitment or promotion practices
- A bullying culture (across a team or organisation rather than individual instances of bullying)

All NHS staff have a duty to raise concerns about serious risks at work that are considered to be in the public interest. This forms part of the NHS terms and conditions of service handbook. In addition, you have a responsibility under the NHS Constitution to be open with; patients, their families, carers or representatives, including situations where something goes wrong. All staff are expected to contribute to a climate where the truth can be heard and the reporting of, and learning from errors is encouraged and engaged. This is in line with the Trust's signature behaviour, We Listen, We Learn, We Lead.

This duty is also supported by the Trust Vision, which promotes a culture of equality, respect, trust, dignity and openness. In addition, the NHS has a Vision for raising concerns which is detailed in Appendix 2.

If any individual has a concern about a practice, process, issue, or behaviour they should raise the concern preferably with their line manager or alternatively an FTSU Champion or Guardian. This discussion will help them determine if it is a concern under this policy or one of the related policies and procedures listed in Appendix 4.

In cases where a member of staff feels aggrieved about their personal position, for example about their working hours or access to training, they should use the Trust Grievance/Disputes Resolution Procedure. The Trust does however recognise that there may be times when the matter is extremely sensitive and needs to be handled in a different way, and when it is not appropriate to go via these normal

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management reporting channels. In such circumstances, the member of staff should refer to Section 6 of this document (procedure for raising concerns). It is important that the matter is raised when it is just a concern rather than waiting for proof to be available.

This policy forms part of the Trust's governance framework and as such, supports the development of an organisational culture where individuals feel able to raise concerns about their work in a free and open manner. Whether the nature of the concern is substantial, or relatively minor, it is recognised that it is likely to be significant to the individual who raises it. As such, the Trust wants all employees to feel confident that their concerns will be listened to and addressed in an appropriate manner.

Where issues of suspected fraud are raised the Fraud and Corruption Policy must be followed.

2. Policy Scope

This Policy applies to all staff employed by the Trust and workers (including agency workers, temporary workers, students, volunteers and sub-contractors). Anyone who works (or has worked) in the NHS, or for an independent organisation that provides NHS services, can raise concerns.

The Public Interest Disclosure Act 1998 covers all employees and workers including temporary, agency staff, people on training courses and the self-employed who are working for and supervised by the NHS.

3. Aim of policy

This Policy sets out the process by which any unacceptable behaviours observed by any member of staff or related workers can be raised and how the Trust will deal responsibly, openly and professionally with such concerns. The Trust will ensure that any member of staff raising a concern does not suffer any form of retribution, or detriment, provided the concern is raised in good faith. Victimisation of people who raise concerns is a very serious matter that will be investigated, and may lead to disciplinary action. Please be aware that malicious or vexatious claims will be dealt with as a disciplinary matter.

4. Duties – roles and responsibilities

The Trust Board

The Trust has responsibility to support individuals who have genuine concerns and to ensure that these concerns are addressed appropriately and responsibly.

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Freedom to Speak Up (FTSU) Guardian

The FTSU Guardian is responsible for ensuring that the Trust promotes an open culture where all staff feel empowered to speak up when they have concerns which may be a matter of public interest. The Guardian will ensure that concerns are managed effectively through this policy in a timely way and that all necessary reporting is carried out. The Guardian will also ensure that the Trust Board is sighted on matters and will link in with the National Guardians Office to support the wider Freedom to Speak Up movement in the NHS.

The Chief Executive

The Chief Executive is ultimately responsible for ensuring effective corporate governance within the organisation and therefore supports the Trust-wide implementation of this policy.

Line Managers

Managers are responsible for dealing with concerns raised with them under this policy. They must ensure that everyone engaged in their service, such as employees, agency workers or contractors are aware of this policy. Managers are responsible for providing support to individuals who raise concerns, and to take any steps necessary to prevent victimisation.

Staff Responsibilities

Members of staff, contractors and volunteers, have a responsibility to bring genuine concerns about a practice, process or issue in the workplace to the attention of the Trust and are encouraged to use the internal mechanisms and policies available to them.

Professionally Registered Staff

Professionally registered staff have a duty to raise concerns in accordance with their Professional Code of Conduct/Practice.

Staff Side Representatives

Staff Side Representatives are responsible for providing advice, support and guidance to members of their union who wish to raise a concern.

Freedom to Speak Up Champions

FTSU Champions are responsible for providing support to those who have concerns and signposting them to the appropriate department e.g. staff side representative, line manager, Human Resources, Occupational Health etc. Champions will also ensure that the FTSU Guardian is made aware of issues raised to enable appropriate

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reporting or escalation as necessary. Champions receive relevant training to fulfill this role.

Human Resources Advisors

HR Advisors are responsible for providing advice and guidance to managers and staff on the application of policies and procedures in line with relevant legislation. Where appropriate, the HR Advisors will provide support to managers and employees in order to resolve concerns raised under this policy. The Freedom to Speak Up policy will be brought to the attention of new staff on Induction, and to existing staff on Mandatory Training. Intranet Pages and a dedicated email address will be established to facilitate easy access to support for staff.

Counter Fraud Specialists

Counter Fraud Specialists are responsible for conducting investigations into suspicions of fraud in a manner that abides by appropriate legislation and protects confidentiality of sources (where appropriate). Contact details for our counter fraud specialist are available in the Counter fraud Policy which is on the Intranet.

5. Definition of terms

‘Raising a Concern’ is defined by the British Standards Institution (BSI) Whistleblowing Arrangements Code of Practice as “speaking up about a possible fraud, crime, danger or other serious risk that could threaten customers, colleagues, shareholders, the public, or the organisation’s own reputation”.

6. Procedure for raising concerns at work

Appendix 1 is a Flow Chart designed to help you understand the process for raising a concern. The steps are detailed below:

6.1 How to raise a concern – 3 steps

1. Step one

Where you have a concern about a practice, process, issue, or behaviour you should where you feel able, raise the matter with your line manager or next level of manager, so that they can take appropriate action.

Note: You may approach your Trade Union representative or a Freedom to Speak up Champion for advice and guidance about raising a concern. Trade Union members are strongly encouraged to contact their Staff Side Representatives at the earliest opportunity. Staff Side Representatives can raise concerns on behalf of their members whereas Champions should signpost to the appropriate departmental

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manager or the Freedom to Speak up Guardian.

2. Step two

If you feel unable to raise the matter with your line manager or their manager, please raise the matter with one of the Trust's FTSU Champions, the FTSU Guardian or your Trade Union Representative.

You can use the confidential email address below to raise your concern with the FTSU Guardian or you can contact one of the FTSU Champions. Details of all FTSU Champions can be found in the Freedom to Speak up section on the Intranet.

wah-tr.freedomtospeakup@nhs.net

The Trust Guardian has been given special responsibility and will:

- treat your concern confidentially unless otherwise agreed
- ensure you receive timely support to progress your concern
- escalate to the Board any indications that you are being subjected to detriment for raising your concern
- remind the organisation of the need to give you timely feedback on how your concern is being dealt with
- ensure you have access to personal support (e.g. via Occupational Health, a Trade Union Representative or FTSU Champion) since raising your concern may be stressful.
- If you want to raise the matter in confidence, please say so at the outset so that appropriate arrangements can be made

3. Step three

If you still have concerns after the first two stages, or consider that neither of these routes is appropriate to your particular circumstances, you can at any point, raise the matter directly with the Trust's Chief Executive (see also section 6.5). When doing so, you must make it clearly understood that your concern has already been raised under the Freedom to Speak Up policy.

6.2 Process for handling concerns

Recording and signposting

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Where you raise a concern through any of the above routes, the person receiving your concern will record a brief summary of the issues (using the form in Appendix 3) and pass the details to the FTSU Guardian.

Your concern can be anonymised if you request but please be aware that this may restrict the ability to effectively follow up on and resolve the concerns you have raised.

A central record will record the date the concern was received, whether you have requested anonymity, a summary of the concerns and dates when we have given you updates or feedback.

The Guardian or Manager receiving the concern will then be responsible for ensuring the concern is adequately addressed by an appropriate member of staff within the Trust. They will also be responsible for ensuring appropriate support is made available to you.

If the manager with whom the concern has been raised has any personal interest in the matter, it is important they inform an HR representative at the outset, who will then advise how the matter should best be handled thereafter.

6.3 Addressing the concern

6.3.1 Information gathering

In all cases someone suitably independent and appropriately trained will be appointed to review the concern, conduct an information-gathering exercise and develop a management action plan. In certain circumstances this individual may need to be someone external to the Trust.

The information-gathering exercise will normally be carried out under the terms of strict confidentiality i.e. by not informing the subject of the complaint until (or if) it becomes necessary to do so. This may be particularly appropriate in cases of suspected fraud, or when there would be the possibility of irreparable damage to the working relationship of the people concerned.

In certain exceptional cases it may be necessary to suspend relevant individuals. This must be done in accordance with the Trust Disciplinary Policy. Protection of patients in our care is paramount in all cases and this principle is extended to those individuals raising concerns under this procedure.

The manager appointed to conduct the information gathering exercise will collect factual information, prepare a written report of findings, make recommendations for

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resolving the issue and submit their findings to the FTSU Guardian or the manager who commissioned the information-gathering exercise.

6.4 Following the information-gathering exercise

6.4.1 Follow up action

Prior to, following or during the information gathering exercise, the person conducting the exercise may decide that the concern would be better addressed under another WAHT Policy or procedure (as listed in Appendix 4) and this will be communicated to you.

Any employment issues (that affect only you and not others) identified during the information gathering exercise will be considered separately under the appropriate policy.

Where the information gathering exercise reveals serious concerns that need to be investigated more fully, one of the following routes will be taken:

1. Wherever possible the person who conducted the information gathering exercise will conduct further investigation meetings to gather more detailed information.
2. In certain circumstances, such as where specialist knowledge is required, or where an external organisation needs to be involved, a different person will be assigned to carry out more detailed fact finding.

Wherever possible the Trust will carry out a single fact finding exercise (so for example, where a concern is raised about a patient safety incident, usually a single round of fact finding meetings will aim to look at the concern and the wider circumstances of the incident).

The fact finding will be objective and evidence-based, and will produce a report that focuses on identifying and rectifying any issues, and learning lessons to prevent problems recurring.

6.4.2 Communication

You will be treated with respect at all times. In order to understand the concerns, the Trust will discuss the issues raised with the individuals involved, provide anticipated timescales for the fact finding exercise and updates on progress. Wherever possible, the Trust will share the outcome with you (while respecting the confidentiality of others).

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6.4.3 How will the Trust learn from concerns?

The focus of the fact finding will be on improving the service provided for patients. Where it identifies improvements that can be made, these will be tracked to ensure necessary changes are made, and are working effectively. Lessons will be shared with teams across the organisation, or more widely, as appropriate.

The Manager or Guardian who commissioned the information-gathering exercise will determine (in consultation with HR) whether there is any further action required. Where this is the case, the Manager or Guardian will inform you, either verbally or in writing, as to the outcome of the process (this will not include details of any disciplinary action which must remain confidential).

Where the Manager or Guardian determines that there is no further action required, he/she will inform you and will consider whether any further support should be offered to you. In all cases feedback will be provided to the FTSU Guardian.

6.4.4 Board oversight

The Board will be given high level information about all concerns raised by its staff through this policy and details of what is being done to address any problems. The Board will include similar high level information in the annual report. The Board supports staff raising concerns and wants them to feel free to speak up.

6.5 Concerns relating to the Chief Executive

If the concern raised relates to the Chief Executive of the Trust, the Chairman will decide on how an investigation will proceed. See section 6.10 for information about seeking independent or external advice.

6.6 Concerns relating to the Chairman or Non Executives

If your concern relates to the Chairman or Non-Executives of the Trust, this should be raised with the Freedom to Speak Up Guardian who will raise externally to the Trust with NHSI.

6.7 Accessing external contacts

While the aim of this policy is to give individuals the reassurance they need to raise matters of concern internally, the Trust recognises that there may be circumstances where it is appropriate to properly report matters to outside bodies such as the Secretary of State, the Police or other regulatory bodies (see 6.10).

The Trust would rather matters were raised with the appropriate regulator than not at all, provided the individual is acting in good faith and there is evidence to back up

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the specific concern.

6.8 Measures for supporting and protecting individuals

Feel safe to raise your concern

Where a genuine concern is raised under this policy, you will not be at risk of losing your job or suffering any form of reprisal as a result. The Trust will not tolerate the harassment or victimisation of anyone raising a concern. Nor will the Trust tolerate any attempt to bully individuals into not raising any such concern.

Confidentiality

The Trust hopes that you will feel comfortable raising concerns openly, but also appreciates that concerns may be raised confidentially. This means that the individual raising the concern will only be identifiable to the Guardian and the fact finding manager. Therefore, the Trust will keep your identity confidential, if that is what is requested, unless there is a requirement to disclose it by law (for example, by the police). Concerns can be raised anonymously, without giving anyone's personal details, but please bear in mind that this may make it more difficult for the Trust to investigate thoroughly and to give feedback on the outcome.

Making a 'protected disclosure'

There are very specific criteria that need to be met for you to be covered by whistleblowing law when you raise a concern (to be able to claim the protection that accompanies it). There is also a defined list of '[prescribed persons](#)' available on the GOV.uk website, similar to the list of outside bodies listed in 6.9, who protected disclosure may be raised with. Prescribed persons, as prescribed under the Public Interest Disclosure Act 1998, are independent bodies or individuals that can be approached by whistleblowers where an approach to their employers would not be appropriate. Please seek independent advice from the [Whistleblowing Helpline](#) for the NHS and social care (Tel: 08000724725 or email: enquiries@wbhelpline.org.uk), [Public Concern at Work \(Tel: 02074 046609 or at www.pcaw.co.uk\)](#) or a legal representative who will be able to advise individuals if they meet the criteria.

The Trust will take appropriate measures to protect employees raising a concern under this policy.

Where the Trust is not able to resolve the concern without revealing your identity (for instance because evidence is needed in an internal or external forum), the

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matter will be discussed formally with you to determine whether and how it is possible to proceed. You should be given the opportunity to have your Staff Side Representative, or a colleague to accompany you.

In circumstances where the Trust is required to disclose your identity (e.g. Court proceedings/police matters), every reasonable effort will be made to ensure you are informed prior to the disclosure occurring.

6.9 Seeking independent or external advice

[NHS](#) Improvement for concerns about:

- how NHS trusts and foundation trusts are being run
- other [providers with an](#) NHS provider licence
- NHS procurement, choice and competition
- the national tariff

[Care Quality Commission](#) for quality and safety concerns

[NHS England](#) for concerns about:

- primary medical services (general practice)
- primary dental services
- primary ophthalmic services
- local pharmaceutical services

[Health Education England](#) for concerns about education and training in the NHS

[Whistleblowing Helpline](#) for the NHS and social care (tel 08000 724 725 or email enquiries@wbhelpline.org.uk)

NSPCC Whistleblowing Advice Line, providing support to employees wishing to raised concerns over how child protection issues are being handled (tel 08000 280 285)

[Trade Union or Professional Association websites](#)

While it is hoped that you will feel able to raise your concerns internally, the Trust recognises that individuals can also contact an appropriate external body. If you are unsure whether to use this procedure, you may at any stage contact:

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- a Trade Union/Professional organisation – the Trust recognises that you may wish to seek advice from and be represented by your trade union/professional organisation representative, when using the provisions of this policy and acknowledges your right to do so; or
- the independent charity Public Concern at Work (tel 020 7404 6609 or email helpline@pcaw.org.uk) whose lawyers can give free confidential advice at any stage about how to raise a concern about serious malpractice at work.
- the National Fraud and Corruption (Integrity) Line (tel 0800 028 40 60) – a confidential reporting line which has been established by the NHS Protect. All calls will be treated in confidence by trained staff and will be professionally investigated.
- NHS staff who have concerns and are unsure how to raise them or would like free, independent and confidential advice are able to call a new helpline provided by the Royal Mencap Society on 08000 724 725.

6.10 If individuals are dissatisfied

Where you are unhappy with the Trust's response, you are advised to approach the other levels and bodies detailed in this policy. While the Trust cannot guarantee that all matters will be responded to in the way that you might wish, the Trust will aim to handle the matter fairly and properly.

6.11 National Guardian

Dr Henrietta Hughes is the National Guardian for speaking up freely and safely within the NHS. She is contactable via the National Guardians Office - 0300 067 9000.

The National Guardian can independently review how staff have been treated having raised concerns where NHS trusts and foundation trusts may have failed to follow good practice, working with some of the bodies listed above to take action where needed.

7. Training

The Trust has a responsibility to ensure that managers are aware of how to handle any issues of concern raised within the terms of this policy and will provide training and advice to support managers in this context.

8. Diversity and Inclusion

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The Trust is committed to ensuring that, as far as is reasonably practicable, the way we provide services to the public and the way we treat staff reflects their individual needs and does not unlawfully discriminate against individuals or groups on the grounds of any protected characteristic (as defined in the Equality Act 2010).

This policy aims to uphold the right of all staff to be treated fairly and consistently and adopts a human rights approach. This policy has been appropriately assessed in terms of Equality Impact Assessment (see appendix 5).

9 Processes for Monitoring Compliance with the Policy

This policy will be reviewed every 2 years and amended in light of any guidance issued by Government or other legal sources.

Standard / process / issue	Monitoring and audit			
	Method	By	Committee	Frequency
Review policy 2 years after implementation date	FTSU Sub Committee	2 years after implementation date	Workforce (People and Culture Committee)	Expiry of policy
Compliance with Policy	6 Monthly audit to look at cause, themes and outcomes	Freedom to speak up Guardian	Workforce Committee (People and Culture Committee)	6 monthly

10 Consultation & review

This policy has been reviewed in consultation with the FTSU Group and the JNCC.

11 Policy implementation (Including Awareness Training)

This policy will be published on the intranet in the document library. Training will be provided to managers and to FTSU Champions on the appropriate handling of concerns. The Freedom to Speak Up Guardian will attend national training and networking events organised by the National Guardian's Office.

12. References

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This policy has been written to take account of the Enterprise and Regulatory Reform Act 2013 and the Public Interest Disclosure Act 1998, which encourages employees to raise any concerns with their employers and protects individuals making disclosures about matters of concern when they may have reasonable grounds for believing that they are true.

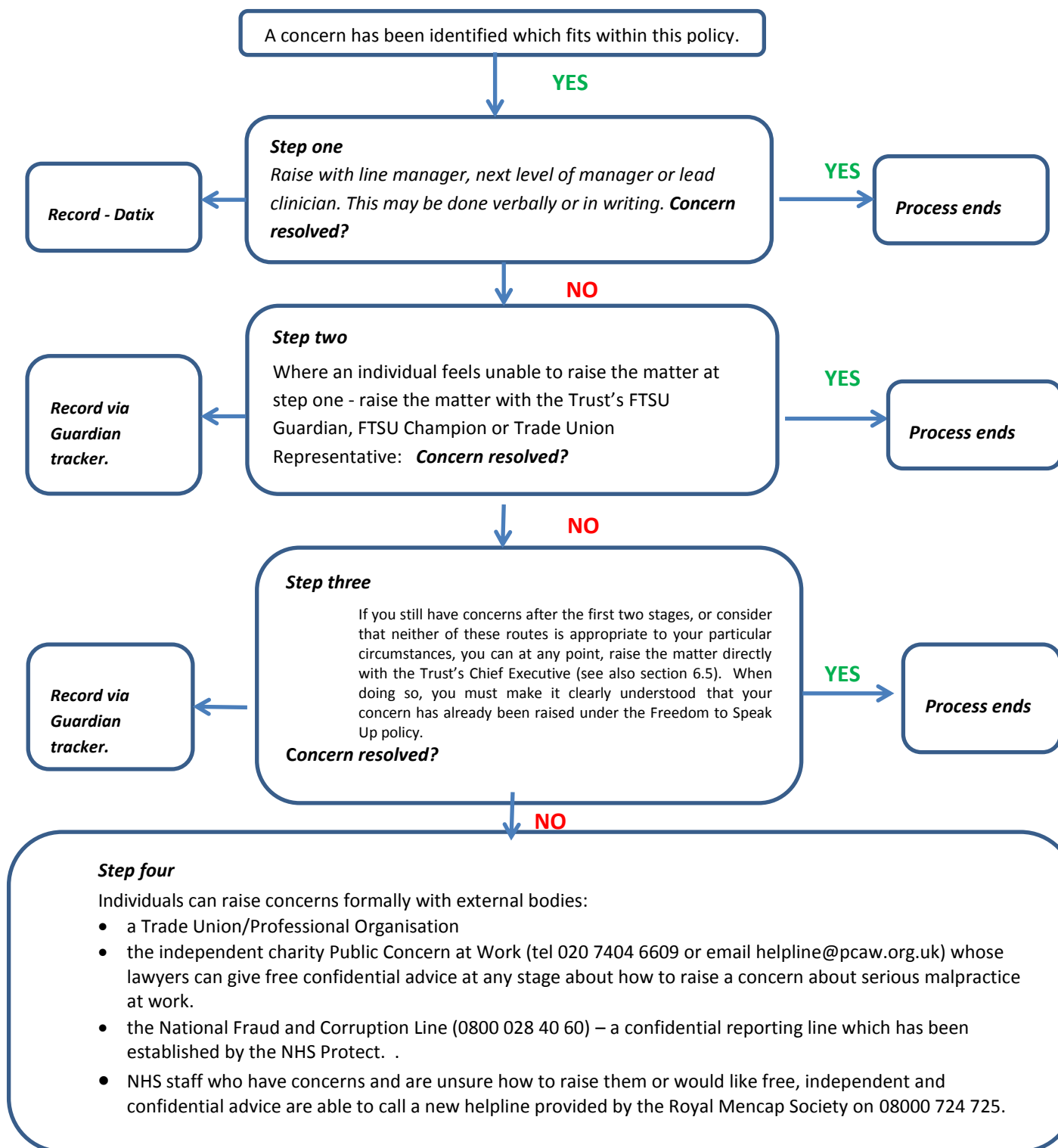
The policy also notes the implementation of:

- the Bribery Act 2010
- National Guidance – Freedom to Speak Up (Draw the Line Campaign).
- British Standards ‘Whistleblowing arrangements: Code of Practice’, PAS 1998:2008
- Social Partnership Forum & Public Concern at Work guidelines, ‘Speak up for a healthy NHS: How to implement and review whistleblowing arrangements in your organisation’, 2010-09-27
- The Bribery Act, 2010
- NHS Terms and Conditions Handbook, 2010
- NHS Constitution, 2009
- National Quality Board: Review of early warning systems in the NHS Acute and Community services, 2010

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Appendix 1:

Process for raising and escalating a concern



Appendix 2:

A vision for raising concerns in the NHS



Source: Sir Robert Francis QC (2015) *Freedom to Speak Up: an independent report into creating an open and honest reporting culture in the NHS*.

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Appendix 3:

Form for Raising Concerns under the Freedom to Speak Up Policy

This form is to be completed by the FTSU Champion/Guardian in discussion with the relevant staff member raising the concern. See section 6 of this policy.

Name:	Department:	Staff Group:
Date:		
Does the staff member wish to remain anonymous?	Y / N	
Email Address :		
Extension or Telephone Number:		
Case Number (To be completed by the Guardian's office)		
Type of Concern (please tick): <ul style="list-style-type: none"> <input type="checkbox"/> Attitudes and Behaviours <input type="checkbox"/> Equipment and Maintenance <input type="checkbox"/> Staffing Levels <input type="checkbox"/> Policies, Procedures and Processes <input type="checkbox"/> Quality and Safety <input type="checkbox"/> Patient Experience <input type="checkbox"/> Performance Capability <input type="checkbox"/> Service Changes <input type="checkbox"/> Other 		
Details of the concern to include who it relates to, any dates/times of specific incidents, covering name, department and role of the person/s involved in the allegation if appropriate.		

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Where appropriate, what outcome is the employee requesting?

Action/Referral made by the Champion or Guardian:

In signing this form you are declaring that this concern has been raised in good faith and the details as far as you know are factually accurate.

Signed by staff member: _____ Date: _____

Signed by FTSU Champion: _____ Date: _____

Please forward this form to the Freedom to Speak Up Guardian via email (scan hard copies): wah-tr.freedomtospeakup@nhs.net

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Results of fact finding exercise (to be completed by Guardian's office)
Feedback given to staff member:
By:_____ **Date:**_____

Response from staff member:
Details of any follow up action to be taken:
Final approval by Guardian and recorded on Guardian's case record file
Signature:_____ **Date:**_____

Name:_____

Appendix 4:
Details of Policies and Procedures Available for Dealing with Work Related Issues or Concerns

If any individual has a genuine concern about a practice, process or issue, they should first of all consider the nature of the concern and determine whether or not it falls within any of the following policies and procedures:

- Disciplinary;
- Grievance (Disputes Resolution);
- Equality and Diversity;
- Dignity at Work/Harassment and Bullying;
- Standards of Business Conduct;
- Standing Financial Instructions
- Professional or ethical guidelines/codes of practice/conduct (for example, GMC, NMC)
- Investigation of Incidents policy
- Safeguarding Policies
- Duty of Candour
- Fraud and Corruption Policy
- Substance Misuse Policy

Full details may be found on the Intranet.

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Appendix 5

For Policy Development use only

Supporting Document 1 - Equality Impact Assessment Tool

To be completed by the key document author and attached to key document when submitted to the appropriate committee for consideration and approval.

		Yes/No	Comments
1.	Does the policy / guidance affect one group less or more favourably than another on the basis of:		
	Race/Ethnic Origin/Nationality/culture	NO	See WRES
	Disability	NO	
	Gender	NO	
	Religion / Belief	NO	
	Sexual Orientation: including L.G.B.T.	NO	
	Age	NO	
	Marital Status	NO	
	Gender Reassignment	NO	
	Maternity/Pregnancy	NO	
2.	Is there any evidence that some groups are affected differently?	NO	Although nationally there is evidence that staff from certain groups may not raise concern
3.	If you have identified potential discrimination, are any exceptions valid, legal and / or justifiable?	N/A	
4.	Is the impact of the policy / guidance likely to be negative?	NO	
5.	If so can the impact be avoided?	N/A	
6.	What alternatives are there to achieving the policy / guidance without the impact?	N/A	
7.	Can we reduce the impact by taking different action?	N/A	

NB:

Where an inappropriate, negative or discriminatory impact has been identified please proceed to conduct a Full Equality Impact Assessment and refer to Equality and Diversity Committee, together with any suggestions as to the action required to avoid / reduce this impact.

Advice can be obtained from the Equality and Diversity Leads in HR and Nursing Directorates (details available on the Trust intranet).

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Appendix 6

Checklist for review and approval of key documents

This checklist is designed to be completed whilst a key document is being developed / reviewed.

A completed checklist will need to be returned with the document before it can be published on the intranet.

For documents that are being reviewed and reissued without change, this checklist will still need to be completed, to ensure that the document is in the correct format, has any new documentation included.

1	Type of document	Staff Policy
2	Title of document	Freedom to Speak Up (Raising Concerns-Whistleblowing) Policy
3	Is this a new document?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If no, what is the reference number WAHT-HR-
4	For existing documents, have you included and completed the key amendments box?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
5	Owning department	Human Resources
6	Clinical lead/s	Not applicable
7	Pharmacist name (required if medication is involved)	N/A
8	Has all mandatory content been included (see relevant document template)	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
9	If this is a new document have properly completed Equality Impact and Financial Assessments been included?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
10	Please describe the consultation that has been carried out for this document	Managers and staff side via Policies Working Group
11	Please state how you want the title of this document to appear on the intranet, for search purposes and which specialty this document relates to.	Freedom to Speak Up FTSU Raising Concerns Whistleblowing Draw the Line Speak up Safely
Once the document has been developed and is ready for KDAG approval, send to the Clinical Governance Department, along with this partially completed checklist, for them to check format, mandatory content etc.		

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Implementation

Briefly describe the steps that will be taken to ensure that this key document is implemented

Action	Person responsible	Timescale
Publish on intranet	KDAG/Governance	April 2018
Training for Champions	FTSU Guardian	Dec 2017
Communications plan	FTSU Guardian	Dec 2017

1	Step 1 To be completed by Clinical Governance Department	
	Is the document in the correct format?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Has all mandatory content been included?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Date form returned ____/____/____	
2	Name of the approving body (person or committee/s)	
	Step 2 To be completed by Committee Chair/ Accountable Director	
3	Approved by (Name of Chair/ Accountable Director):	
4	Approval date	____/____/____

Please return an electronic version of the approved document and completed checklist to the Clinical Governance Department, and ensure that a copy of the committee minutes is also provided.

Office use only	Reference Number	Date form received	Date document published	Version No.

Appendix-7

Financial Risk Assessment

To be completed by the key document author and attached to key document when submitted to the appropriate committee for consideration and approval.

	Title of Document:	Yes / No
1.	Does the implementation of this document require any additional Capital resources	No
2.	Does the implementation of this document require additional revenue	Yes – budget for FTSU Guardian
3.	Does the implementation of this document require additional manpower	Yes – FTSU Guardian and Champions
4.	Does the implementation of this document release any manpower costs through a change in practice	No
5.	Are there additional staff training costs associated with implementing this document which cannot be delivered through current training programmes or allocated training times for staff	No – tie into existing Managers training, induction and mandatory training.
	Other comments:	

If the response to any of the above is yes, please complete a business case and which is signed by your Finance Manager and Directorate Manager for consideration before progressing to the relevant committee for approval