REPORT TO THE TRUST BOARD: PUBLIC
14 NOVEMBER 2018

Title	Freedom to Speak Up Annual Report 2017-2018
Author	Ade Dosunmu, Freedom to Speak Up Guardian
Accountable Executive Director	Lorraine Sunduza, Chief Nurse

Purpose of the Report:

To brief the Trust Board on the Annual Freedom to Speak Up (FTSU) activity to ensure it is meeting its objective both locally and nationally. This includes achievements, areas of development and challenges in 2017/2018 period.

Summary of Key Issues:

Sir Robert Francis Freedom to Speak Up review published in February 2015 sets out 20 Principles and Actions which aim to create the right conditions for NHS staff to speak up, share what works right across the NHS and get all organisations up to the standard of the best and provide redress when things go wrong in future. NHS Improvement on 1 April 2016 published a standard integrated Freedom to Speak Up: Raising Concerns (whistleblowing) policy for NHS organisations in England to adopt as a minimum standard to help normalise the raising of public interest concerns.

This is the first FTSU annual report since the appointment of the guardian in October 2017. Staff have responded positively to the service. There have been 217 concerns raised (as of September 2018) since the launch in October 2017. The increase in the number of cases being brought to the FTSUG is encouraging as staff becomes more familiar with and confident in this new route for speaking up. It is positive that many of the staff who has given feedback said that they would speak up again.

The Trust sends quarterly data to the National Guardian Office. The data is categorised into 3 categories which are elements of patient safety/quality of care, elements of behaviour including Bullying and Harassment and number of detriment as result of speaking up. Trust staff raised 217 concerns to the FTSUG, 28 cases related to patient safety/ quality, 45 cases with elements of behaviour including bullying and harassment and the 114 were predominantly related to organisational changes which had an impact of individuals or teams. The Workforce Committee approved the development of a Trust initiative to tackle Bullying and Harassment which is will be disseminated Trust wide. There is close working with the Trust Organisational Development (OD) to provide better support to staff prior and during organisational changes.

As the Freedom to Speak Up service develops there is continued focus on using Quality Improvement methodologies to demonstrate effectiveness in the role. Already, a significant number of concerns raised to FTSU has enabled concerns raised to be addressed at an early stage, managed locally and decreased formal actions.

There are improved links between FTSU, Human Resources (HR) and OD to support an organisational culture where staff speak up about their concerns as a usual part of the way the Trust operates.

A self-assessment tool was introduced by National Guardian Office (NGO) and NHSI for Trust Board to assess effective speaking up arrangements to help protect patients and improve the experience of NHS workers. The completed tool is appended to this report for consideration by the Board.

Strategic priorities this paper supports (Please check box including brief statement)

Improved patient experience	☒	Improved staff satisfaction positively correlates with improved service user satisfaction.
Improved health of the communities we serve	☒	Ensuring the Trust is well led and meets CQC regulation.
Improved staff experience	☒	The effective implementation of Freedom To Speak Up issues has an impact on staff engagement and motivation. The ability to raise concerns is key to a culture of trust and safety. This role has the potential to improve staff satisfaction through openness and transparency about how concerns are raised and dealt with.
Improved value for money	☒	Effective speak up processes reduce financial risk and exposure to the Trust through employee relations' cases, legal fees and redundancies

Committees/Meetings where this item has been considered

Date	Committee/Meeting

Implications:

Equality Analysis	
Risk and Assurance	There are a number of potential risks associated with Freedom to Speak Up cases, including reputational damage, financial risk and adverse impact on morale. These risks are being managed by corporate and directorate management teams and oversight of the Executive team.
Service User/ Carer/Staff	Freedom to Speak Up promotes the importance of staff speaking up to providing high quality, cost effective, compassionate services and to continually improving in partnership with people who use our services, their carer, families, friends and communities.
Financial	There are financial implications associated with Freedom to Speak Up, potential redundancies and tribunal claims resulting from organisational change and Freedom To Speak Up
Quality	Low morale linked with uncertainty over future employment can impact on delivery of quality services.

Glossary

Abbreviation	In full
FTSU	Freedom To Speak Up
FTSUG	Freedom To Speak Up Guardian
NGO	National Guardian Office
CQC	Care Quality Commission

Freedom to Speak Up Annual Report 2017-2018

1.0   Background

1.1   The Freedom to Speak Up Review undertaken by Sir Robert Francis and published in February 2015 sets out that all NHS Trusts are required to have a Freedom to Speak Up Guardian in post. The Trust appointed a FTSUG in October 2017 and has implemented the 'standard integrated policy' which had been adopted in line with recommendations of the review by Sir Robert Francis into whistleblowing in the NHS.

1.2   The Guardian has a key role in raising the profile of speaking up in the organisation and providing a confidential advice and support to staff in relation to concerns they have about patient safety and/or the way their concern has been managed. They don't have a remit to assist staff who are employed outside of the Trust. FTSUG are not involved in investigations or complaints, but help facilitate the process where needed, ensuring organisational policies in relation to raising concerns are adhered to. Undertaken well and with the support of the Trust the role has a real opportunity to contribute to developing the cultural principles that ELFT has committed to with patient, carers and families at the heart:
- A listening and learning organisation
- Empowering staff to drive improvement
- Increasing transparency and openness
- Re-balancing quality control, assurance and improvement.

1.3   Through the national profile of this role there is the opportunity to embed the work of the Guardian and Ambassadors in internal processes and practice with the aim of further improving the culture around raising concerns and speaking up to build on our positive base around employee voice. The CQC, as part of the well-led domain of the inspection regime, staff are asked about their understanding of how to raise concerns. The CQC has the ability to inquire into reporting and cases as part of their data collection. The Freedom to Speak Up Guardian works alongside Trust Leadership teams to support the organisation in becoming a more open and transparent place to work, where all are actively encouraged and enabled to speak up safely.

2.0   Freedom to Speak Up Accountability Arrangements and Structure

2.1   The Chief Executive is accountable for ensuring that Freedom to Speak Up arrangements meets the needs of the staff in the Trust. The Chief Nurse is the Executive Lead for Freedom to Speak Up who provides leadership and oversees the supportive arrangements for speaking up within the Trust. The independent Non-Executive Director (NED) acts as an independent advisor and is available to the FTSU Guardian and the Chief Executive to seek second opinions and support in progressing complex matters. The independent NED also act as an independent route between the Trust and any party who raises concerns.

2.2   The FTSU Guardian is responsible for:
- Supporting any worker to raise concerns. Recording concerns and reporting investigation recommendations back to worker.
- Sending quarterly reporting of concerns and themes to the NGO
- Summarising significant concerns for Chief Executive, making recommendations about investigation, overseeing investigations and making recommendations for learning.
- Ensuring the annual review of the Speaking Up Procedure.
- Maintaining a register of concerns raised through the Speaking Up Procedure.
- Providing reports to Audit Committee, Trust Board and National Guardians Office.
- Undertaking educational programmes with staff and managers on raising concerns.
- Maintaining and developing the mechanisms for raising concerns.
- Proactively promoting a culture of speaking up.
- Reporting all concerns raised through the Speaking Up Procedure to the Audit Committee.

2.3   The FTSUG reports to fortnightly the Trust Chief Executive and Chief Nurse to provide briefing and tackle areas across the Trust where speaking up may be a challenge.

2.4   The FTSUG meets with the Trust Chair and the Independent Non-Executive Director regularly and identifies issues which may need to be raised with CEO and Executives.

Freedom to Speak Up Ambassadors

2.5   The Trust is keen to develop a model to support the FTSUG with the appointment of Freedom to Speak Up Ambassadors. Ambassadors are staff from all different levels of hierarchy and professionals across the Trust who without disruption to their work function can be visible within a defined geographic area and encourage people to speak up. There are currently four confirmed Ambassadors who have been appointed in the following directorates:

- Forensic Services
- Corporate service
- Tower Hamlets Community Health Service
- Tower Hamlets Mental Health Services
- Bedford

2.6 It should be noted that not all 5 of the FTSU Ambassadors are fully active; this is due to not having an agreed dedicated or protected time to undertake the role. This issue is currently being reviewed to see how the service can better support the Ambassadors to take up their role. There is a recent appointment of a FTSU officer to support with the administrative demand of the role.

2.7 There has been collaborative working with FTSU team and the Peoples' Participation team to ensure that Service Users' voice and input helps to shape the FTSU agenda in the Trust. There are plans to appoint service users from Peoples' Participation both in London and Bedfordshire to work on a part-time basis with the FTSU team.

2.8 The Equalities and Workforce Committee has FTSU within its terms of reference and discusses issues in greater depth. A FTSU update report is submitted regularly to each Equalities and Workforce report to the Board. In recent months, the Trust launched four staff Network leads: Disability, BAME, LGBT and Women's Network with whom the FTSUG works closely with. The role of the Network Leads has also been another supportive conduit process to which staff has been able to raise concern to the FTSUG. Working together with the different Network Leads will enable for a better inclusion in the organisation.

3.0 The Quality Committee

3.1 The Quality Committee is chaired by the Chief Nurse with all service areas and directorates being represented and meeting on a monthly basis. A report from the FTSU will be presented to the next Quality Committee by the Freedom to Speak up Guardian and thereafter, a report will be submitted on a quarterly basis updating the Committee of Freedom to Speak Up activities. The FTSUG attends the Remuneration Committee Forum (REMCO) and Joint Staff Committee meeting. The attendance of FTSU in these groups is to ensure that decisions are based on clear and transparent criteria and to give independent advice in regards to decisions which may affect patient safety and staff wellbeing.

4.0 Promotion of the role

4.1 Following the appointment of the Freedom to Speak Up Guardian, there has been an extensive Trust wide communication strategy, supported by the Communication's department. This included attending the Trust induction and

Junior Doctor's induction, distributing posters, and sending out regularly communications via the Trust Intranet and TrustTalk. What has been effective is the personal approach in introducing the role to staff through regular attendance at teams meetings, away days and department walk arounds, including senior management meetings. The Freedom To Speak Up team continues to be involved with team and senior managers meetings to raise the profile of the role and its services, including carrying out roadshows to embed the culture of speaking-up.

4.2 The role of FTSU is still developing and implementing FTSU Ambassadors in the different directorates within the Trust will strengthen the network. The Trust policy on 'Raising Concern (Whistleblowing Policy) has been updated to highlight the importance of the role and how concerns should be raised; with recognition of how the policy would support volunteers and service users working in the Trust. There is now a process flow chart to support staff in raising their concern. These recent changes have been discussed at the JSC Policy Sub-Committee and awaiting approval.
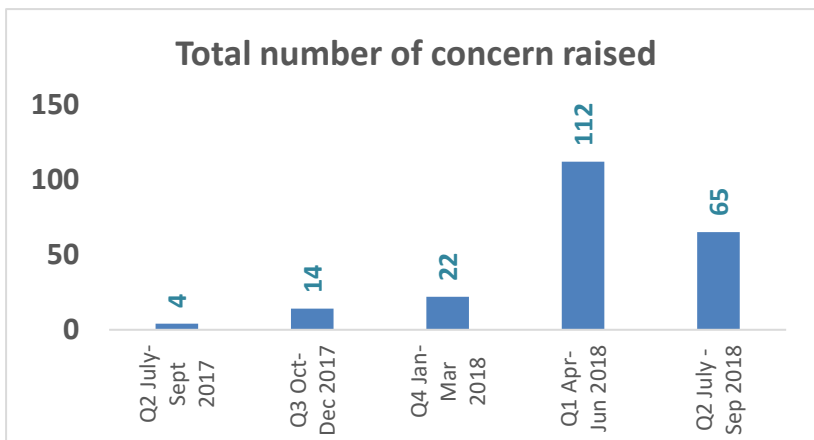
5.0 Local and National Activities

5.1 Earlier this year, the FTSUG attended the National Guardian Office's conference. This was an opportunity to share learning with peers from other organisations and to hear from the National Guardian's Office on best practice. The Freedom to Speak Up Guardian was interviewed by the CQC as part of the Trust's 'Well-led' visit this year. The feedback received was positive and the Trust maintained its outstanding status. The Trust actively engages with the London Regional Network of Freedom to Speak Up Guardians and regularly shares learning with partner organisations.

5.2 The Freedom to Speak Up Guardian was recently appointed as the Vice Chair for London Regional Network for FTSUGs. This appointment is a real benefit in cross London learning for the Trust.

5.3 The Freedom to Speak Up team hosted a Raising Concern and Speaking Up conference in June 2018 targeted at managers. The second conference will be held on the 9th November 2018 in Bedfordshire.

5.4 Dr Henrietta Hughes, the National Guardian for Speaking Up visited the Trust on the 27th July 2018. She visited the inpatient service in City and Hackney Centre for Mental Health. The visit was positive and she praised the Trust for the great work that is being done to support its staff to speak up.

5.5 As part of the October national speak up month, the Trust was invited to the House of Commons by the National Guardian Office. This was a great opportunity to hear about developments taking place nationally for FTSU. In the same month, the Trust jointly hosted a London Regional event for all Freedom to Speak Up

Guardians in London in collaboration with Guy's and St Thomas' NHS Trust. This event provided a training update for FTSU Guardians and gave a valuable insight into the role of Executive and Non-Executive Leads for FTSU who were present at the event. The event was attended by the Trust's Chief Nurse who is the Executive Lead for FTSU.

5.6   The Freedom to Speak Up Guardian has had great support from staff, the Trust Chair, Chief executive and other seniors leaders as part of the October speak up month.
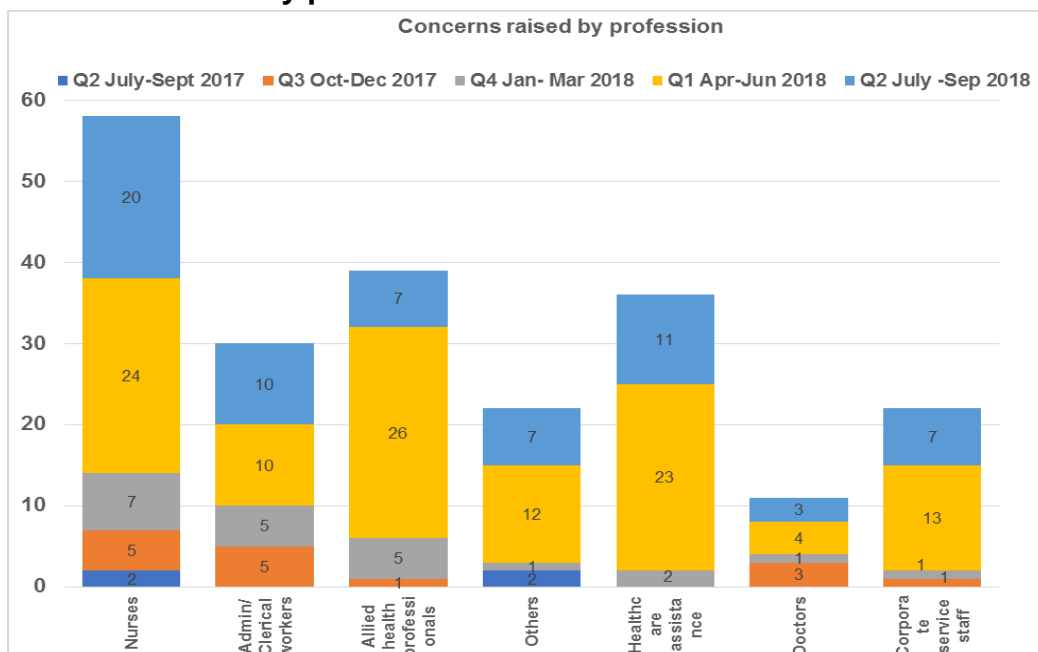
6.0   Speaking up data report 2017/18

Total number of concern raised

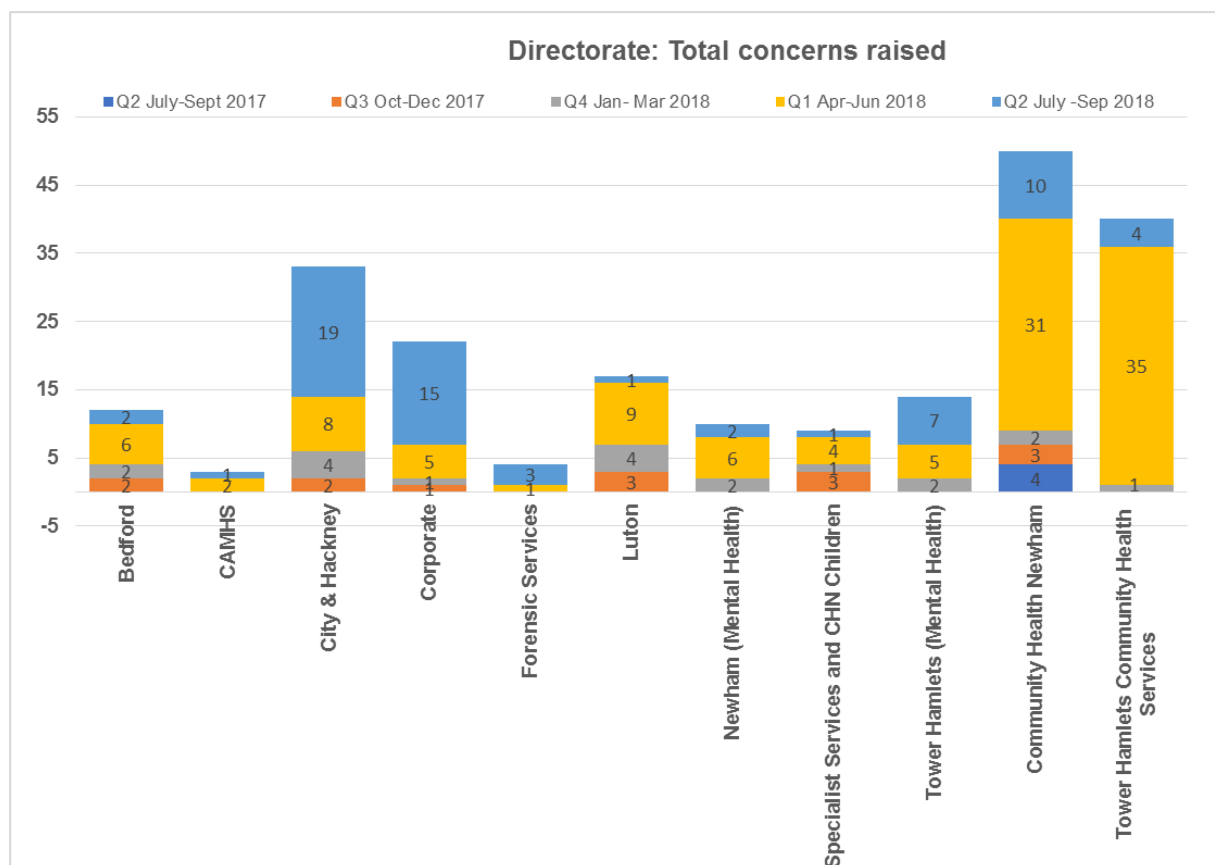Between *Sept 2017 and 30 September 2018, 217 cases were raised to FTSUG

*The FTSU role was supported by the Trust non-executive officer prior to the FTSUG starting the role in Oct 2017.

Concern raised by profession in 2017/2018

More cases (**58 of the 217 total)** were raised by **nurses** than other professional groups. *Others include union reps and anonymous reports. Each case represents individual staff that speaks up, but it cannot be assumed that an individual might not speak up about different matters.
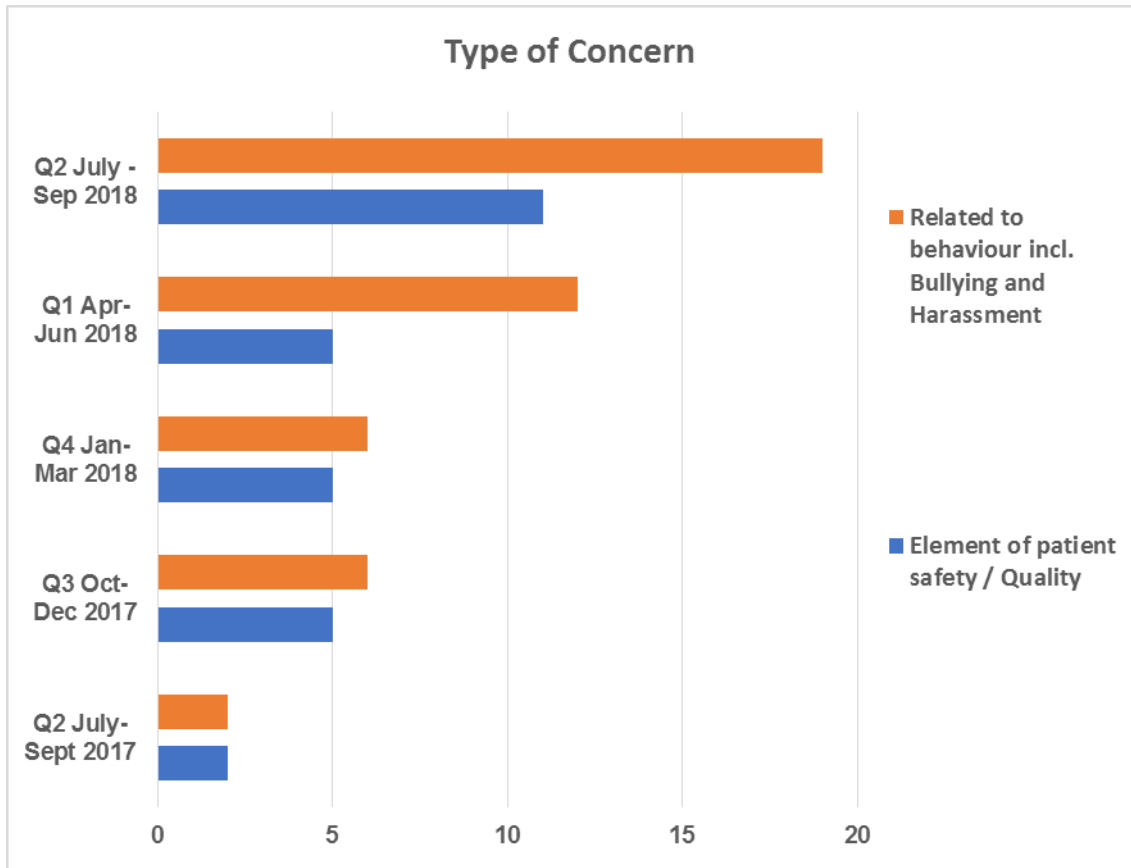
Concern Raised by Directorate in 2017/2018

Directorate: Total concerns raised

Cases raised in directorates by comparison in 2017/2018

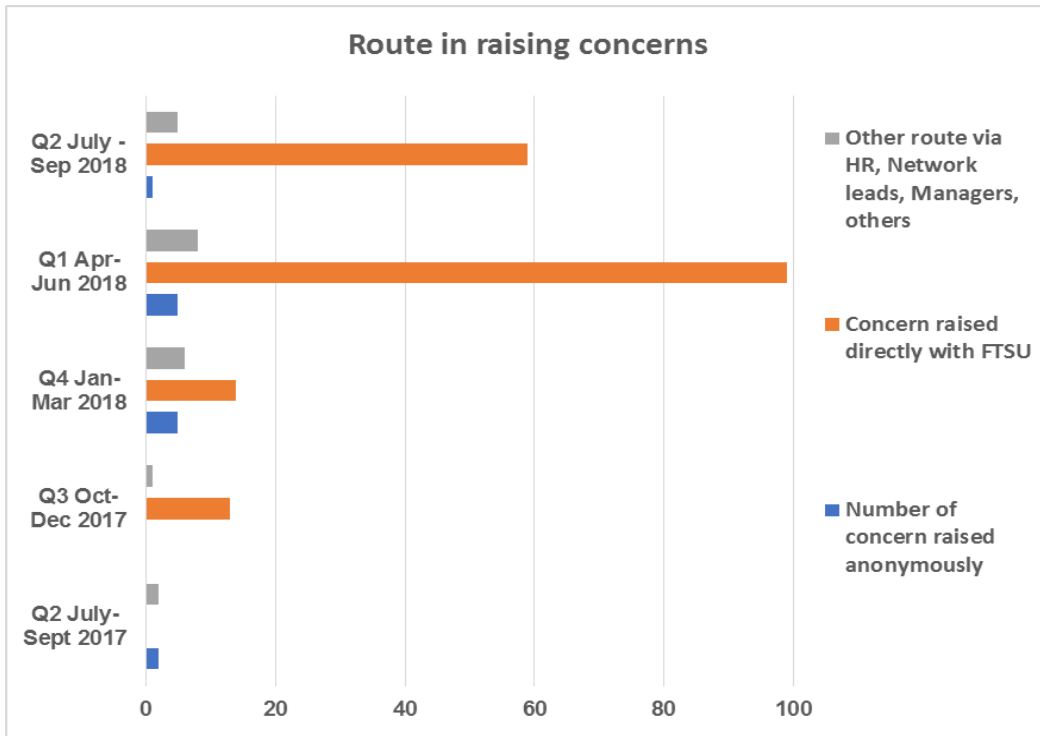| Quarter/ Date	Q2 July-Sept 2017	Q3 Oct-Dec 2017	Q4 Jan- Mar 2018	Q1 April- June 2018	Q2 July- Sept 2018
Directorate					
Bedford	0	2	2	6	2
CAMHS	0	0		2	1
City & Hackney	0	2	4	8	19
Corporate	0	1	1	5	15
Forensic Services	0	0	0	1	3
Luton	0	3	4	9	1
Newham (Mental Health)	0		2	6	2
Specialist Services and CHN Children	0	3	1	4	1
Tower Hamlets (Mental Health)	0		2	5	7
Community Health Newham	4	3	2	31	10
Tower Hamlets Community Health Services	0	0	1	35	4
Total number of concern raised per Quarter	**4**	**14**	**22**	**112**	**65**

Type of concerns raised in 2017/2018

The type of concerns raised to the FTSU has been categorised into two categories as requested by the NGO for their quarterly data submission.

The 217 concerns raised in 2017/2018:

- 28 of these cases included an element of patient safety / quality of care
- 45 included behaviors with elements of bullying and harassment as reported by staff raising those concern
- The outstanding 144 concerns which is not reflected in the above graph (but submitted as part total when reporting to NGO) relates mostly to concern raised as result of organisational changes, restructuring in teams which has impacted on staff wellbeing, the quality of care provided.

There is an awareness of the number of concerns associated with organisational changes and the reported impact on staff. There is close working with OD, HR and JSC to explore these issues further in order for the Trust to support staff through change process more effectively.

Routes concerns were raised to FTSU in 2017/2018

Route in raising concerns

***Other route:** The staff Network leads (Disability, BAME, LGBT and Women's Network) have been another source in which cases have been discussed with FTSU. HR and line managers have also referred staff to speak with FTSU where they assess that the individual may benefit from alternative route to speak up.

The Trust has seen a drop in its anonymous reporting. Whilst some staff still feels the need to remain anonymous, the reduction in anonymous concerns raised shows that staff are raising their concerns more openly.

7.0   Contribution to Cultural Change

7.1   The role of Freedom to Speak Up forms part of a wider move across the Trust to create an open and honest culture. The FTSU Guardian's job description puts a specific responsibility in this area *"The Freedom to Speak Up Guardian will work alongside Trust leadership teams to support the organisation in becoming a more open and transparent place to work, where all are actively encouraged and enabled to speak up safely".* This responsibility has been discussed with the Equalities and Workforce Committee and working closely with the Organisational Development.

7.2   There is a plan for Freedom to Speak Up Guardian's active involvement in the Trust Equalities and Workforce Strategy Implementation plan which will also help to form the FTSU creating its own vision and strategy.

- As part of the responsibility to work on cultural change, the FTSUG has responded proactively to issue concerning bullying and harassment with the same measure as that of direct patient safety.
- FTSU is helping the Trust to identify areas for improvement based on the themes and patterns from reporting e.g. pace and support provided to staff during service transformation
- Improves staff morale and productivity
- Reduction in sickness absence. Staff are reporting more confident to remain at work whist undergoing a process or return to work earlier as they reported feeling supported through the process by FTSU
- Staff reports feeling empowered in challenging poor practice
- Staff feeling confident to talk about what matters to them and feeling that their voice is heard at the top level
- Concerns are being addressed at a much earlier stage which reduces escalation in matters
- Staff are more open to talk to someone independent about any detriment they feel they are experiencing following a concern raised and are less likely to take this outside the organisation if they feel listened to

8.0 Feedback 2017/2018

8.1 The majority of feedback received has been positive. This gives assurance that the channel for speaking up provided by Freedom to Speak Up Guardian is developing into a trusted one. The positive nature of the experience that staff speaking up to Freedom to Speak Up Guardians and Ambassadors have also gives assurance that, as the question states, they will speak up again.

8.2 Below are some of the post feedback received from staff who have spoken up about the positive and challenging aspect and given their experience, would you speak up again:

"The positive was that I was able to actually go through with it"

"It was a relief initially to feel listened to by Speaking up, however, if HR still have not responded, then nothing has actually progressed for my case"

"(FTSU) was very responsive, contacting me without delay. As a guardian she was totally un bias, taking an approach that was interested in the facts. From a very personal perspective I found the process to be very re-assuring and comfortable. In terms of positivity the ability to raise my concern in this matter through (FTSU) ensured that those needing to know were 'Aware' of the issue and the potential effect"

"As a result of that I have been blocked and have continued to suffer with discrimination in my work place"

"I feel that this is a fresh approach to dealing with issues. In my personal case it might have been possible to go down the grievance route. However, this can be long and stressful in the process and often difficult to provide "hard evidence" of the issues raised"

"It's not worth the stress of speaking up"

"I feel the process was invaluable for me and although I hope I don't need to, I would speak up again. Having an impartial ear that is sensible with an approach on how to deal with matters is something valuable"

"it was positive to have someone that I could talk to that was aware of the policies and procedures of the Trust. The advisor had knowledge and was able to provide an objective point of view on the situation and provide practical advice on how best to go forward with the problem at hand"

"I am a strong advocate in speaking up if something feels or judged to be wrong. The right advocate/ guardian is essential to the process and I am grateful and confident that all was addressed in a professional and fair manner. Speaking up is not just about achieving a positive outcome but is also about having a process in place which supports"

8.3   The feedback have been instrumental in understanding staffs' experience and there is still much more to do to change the culture about speaking up from career limiting to business as usual.

9.0   Freedom To Speak Up self- review tool

9.1   August 2018 completed the Freedom to Speak Up self-review tool which was published by NHS Improvement and the National Guardian's Office. The tool sets out expectations of Boards to help Boards create a culture that is responsive to feedback and focused on learning and continual improvement.

9.2   The tool has been completed with Board members resulting in an in-depth review of leadership and governance arrangements in relation to FTSU and identification of areas to develop and improve. Appendix 1

10.0   Response to data and Board self-assessment tool:

1. Response to gaps identified by the self-assessment will report regularly within our governance framework.
2. Intelligence from the FTSUG data will shape future initiatives to address issues related to dignity and respect including bullying and harassment.
3. Establish FTSU Ambassador in each directorate
4. Establish collaboration of FTSUG and Peoples Participation team

11.0   Actions required by the Board

11.1   The Board is asked to **NOTE** the contents of this report.

Appendix 1

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			
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.	MET -Fortnightly meeting with chief exec and chief nurse, update on FTSU issues -Attendance to CEO strategy discussion group -Quarterly report to Trust board (workforce report) -Access to Trust board -Regular meeting with senior independent director Attendance to Operational managers meeting	N/A	FTSU works in close partnership with the senior independent director lead for FTSU <u>Reporting process for board assurance:</u> 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
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.	MET -FTSU Managers conference -Executive walkabouts	Scheduled meeting at DMT to give updates to senior leaders about issues and key learning	FTSUG can raise any concern directly with the SID lead as of when they arise.

	-Video blog with CEO -Articles and updates in Trust communication	pertaining to their area. -FTSU vision to be linked to Trust workforce strategy Adding the FTSUG to exec walkround template	Regular feedback is reported into the <u>Reporting process for board assurance</u>
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 speak up.	FTSU Conference held in June 2018, another due in November 2018 and annually Dr Nick Harper attended conference Conference emphasis barriers and importance of speaking up	To review how current leadership programs emphasises the importance of learning from issues raised by staff	<u>Reporting process for board assurance:</u> 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Senior leaders can describe the part they played in creating and launching the trust's FTSU vision and strategy.	In progress	A FTSU vision and strategy that's aligned to the Trust and workforce strategy in process to being created.	FTSU vision and strategy will be shared with Trust board in the FTSU annual report
Leaders have a structured approach to FTSU			

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.	-FTSU vision still in development -FTSU is able to triangulate information and test theories Continuous improvement embedded	Ongoing collaborative work with service users, carers and working with Qi approach to links speaking up with patient safety, staff experience and continuous improvement.	FTSU vision work in progress
There is an up-to-date speaking up policy that reflects the minimum standards set out by NHS Improvement.	MET The current speaking up policy reflects the minimum standard.	Policy due for review, submitted to sub-committee and awaiting JSC approval	Policy will be published and attached to FTSU annual report
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 strategies needs to be developed formally	FTSU strategies to be developed formally	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Progress against the strategy and compliance with the policy are regularly reviewed using a range of qualitative and quantitative measures.	FTSUG submits quarterly data to National Guardian Office	There is plan for Speaking up policy, process and compliance to be reviewed as part of the Trust annual audit process. Using Qi methodologies,	Once formally developed, reporting process will be as below 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance

		there will be ongoing review of qualitative and quantitative data for FTSU and the impact.	4.Trust Board
Leaders actively shape the speaking up culture			
All senior leaders take an interest in the trust's speaking up culture and are proactive in developing ideas and initiatives to support speaking up.	MET -Trust speaking up conference for managers -Recent visit from Dr Henrietta Hughes; Speak Up Guardian Lead for NHS –Fortnightly attendance to CEO group - Regular update to Trust board and executives - Quarterly meeting with operational leads FTSUG part of Trust Induction	- FTSU video training -Attendance to senior management meeting to give local update on FTSU issues	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
They can evidence that they robustly challenge themselves to improve patient safety, and develop a culture of continuous improvement, openness and honesty.	MET - Complaints process -use of safety huddles -Debriefs post incidents - Learning lessons -Well established QI	There is plan to explore the implementation of the Schwartz model Consistency in delivering debrief post	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board

	programs -Robust review process	incidents Staff support post incident	
Senior leaders are visible, approachable and use a variety of methods to seek and act on feedback from workers.	MET Regular executive and non-executive director walkabout increases visibility -staff breakfast with CEO -Staff equalities Network -Fortnightly meeting with chief nurse and CEO to discuss FTSUG issues raised FTSU issues -External support package for staff via PCAW (Public concern at work)	N/A	Direct feedback to locality
Senior leaders prioritise speaking up and work in partnership with their FTSU Guardian.	Met	N/A	
Senior leaders model speaking up by acknowledging mistakes and making improvements.	MET -Well established QI Joy at work - learning lessons seminars - -Good oversight of	Use of Qi as a form of continuous improvement Managers Incident sign	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board

	management of incidents	off consistently	
The board can state with confidence that workers know how to speak up; do so with confidence and are treated fairly.	MET -Trust induction -Posters -Use of Trust intranet -Social media -DMT and away days attendance of the FTSUG -Trust policy -Walkabouts with execs and non execs	There is a need to establish ambassadors to develop FTSU agenda's locally and be a local point of contact and support for staff	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Leaders are clear about their role and responsibilities			
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.	MET -Regular contact with the exec and non-exec where speaking cases are discussed	N/A	Update will be made to the board as part of board reporting process
They, along with the chief executive and chair, meet regularly with the FTSU Guardian and provide appropriate advice and support.	MET -There is regular contact with both chief exec and chair where speaking cases are discussed	N/A	Update will be made to the board as part of board reporting process

Other senior leaders support the FTSU Guardian as required.	MET -FTSU is able to access senior leaders as required - Regular communication with Chief nurse, medical officer, operational officer and Director of cooperate affairs and HR	N/A	Update and/ or challenges arising will be made to the board as part of board reporting process

Leaders are confident that wider concerns are identified and managed

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.	MET	Electronic system being developed to enable triangulation of speaking up issues via a structured system	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
The FTSU Guardian has ready access to senior leaders and others to enable them to escalate patient safety issues rapidly, preserving confidence as appropriate.	Met FTSU has readily access to senior leaders to escalate patient safety concerns	More structure and clear process to determine the action and support needed by the senior leader	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board

Leaders receive assurance in a variety of forms

Workers in all areas know, understand and support the FTSU vision, are aware of the policy and have confidence in the speaking up process.	There has been good update of the FTS U service since it started October 2017. There is more work to be done to increase visibility across all parts of the Trust to ensure all staff are able to access FTSU when required.	To establish ambassadors locally with clearly defined roles	Results will be feedback as below; 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
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	MET -The Trust has appointed Network Leads (BME, LGBT, Disability and Women lead) -FTSU attend the monthly equality meeting -Attendance at JSC and workforce meeting	To develop and establish FTSU ambassadors locally Report themes that also review demographics of staff involved (confidentiality maintained)	There is regular communication and triangulation of information between the FTSUG and the Trust Network leads. 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Speak up issues that raise immediate patient safety concerns are quickly escalated	Met	To ensure feedback is given consistently to person raising concern and to the FTSU	

Action is taken to address evidence that workers have been victimised as a result of speaking up, regardless of seniority	Met -Post feedback questionnaire is sent to those who speak up	To ensure the same question is asked to all staff post speaking up process.	Discussion held with exec lead for FTSU along with Director of HR to check detriment. Reporting process will be as below 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Lessons learnt are shared widely both within relevant service areas and across the trust	Met -FTSU lessons are shared local newsletter, Trust wide and local events and meetings and away days	To share lesson learnt across the different parts of the Trust as some lessons are only shared within the directorate.	Lessons learnt will be shared as part of the Quarter reporting to; 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board FTSU board report.
The handling of speaking up issues is routinely audited to ensure that the FTSU policy is being implemented	FTSU still within first year of service	There is plan to carry out audit as part of the Trust annual auditing	Still within first year of service

FTSU policies and procedures are reviewed and improved using feedback from workers	MET -Post speaking up survey -JSC Feedback -Partnership with Network leads	New feedback system implemented to gather feedback from staff post speaking up process	Recently started collecting feedback. Summary added to the annual report for the Trust Board
The board receives a report, at least every six months, from the FTSU Guardian.	Met	N/A	Report is submitted to the different forums below and presented by the FTSUG 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Leaders engage with all relevant stakeholders			
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 reflected in the FTSU vision and plan.	Met -Feedback from the staff survey is used to shape culture and determine Trust priorities -Triangulation of staff survey and FFT -Other sources of reliable	Ongoing plan to incorporate FTSU as part of Trust wide survey	Feedback from staff is reported to the forums below as part of the FTSU reporting; 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance

	intelligent		4.Trust Board
Issues raised via speaking up are part of the performance data discussed openly with commissioners, CQC and NHS Improvement.	*N/A	*Further clarity to be sought from National Guardian Office	N/A
Discussion of FTSU matters regularly takes place in the public section of the board meetings (while respecting the confidentiality of individuals).	Met	N/A	FTSU matters are presented at the following forums: 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
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.	FTSU within first year	N/A	Trust annual report for FTSU is due to be submitted in November 2018
Reviews and audits are shared externally to support improvement elsewhere.	MET -FTSU data is submitted quarterly to NGO including learning and feedback		Updates is given about where and what FTSU information is shared externally; 1. Reporting to exec and non-exec 2.REMCO

			3.Quality Assurance 4.Trust Board
Senior leaders work openly and positively with regional FTSU Guardians and the National Guardian to continually improve the trust's speaking up culture	Met -Visit from Dr Henrietta Hughes National Guardian for NHS -Meeting was attending by Trust Chair and senior independent director		The exec and non-exec director for speaking up get communications from the NGO regularly.
Senior leaders encourage their FTSU Guardians to develop bilateral relationships with regulators, inspectors and other local FTSU Guardians	In progress	FTSUG to be invited to meet regulators at agree frequencies	FTSU in regular contact with other FTSUG, Network leads and the NGO
Senior leaders request external improvement support when required.	Met -Partnership with IHI -Regular discussion about patient safety	Patient Safety review by CMO, CNO and CQO	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Leaders are focused on learning and continual improvement			
Senior leaders use speaking up as an opportunity for learning that can be embedded in future practice to deliver better quality care	MET -Debrief post incident	Proposed plan to carry	Reporting process will be as below 1. Reporting to exec and

and improve workers' experience.	-Reviewing patient's care	out review on cases that have been managed well.	non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Senior leaders and the FTSU Guardian engage with other trusts to identify best practice.	MET -Working with other FTSU from other Trust -Partnership working with NSFT -FTSU training to other Trust -3 way review	Networking with other FTSUG from other Trust to share best practice	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
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 FTSUG currently review all guidance and case review reports sent by the NGO	Exec and non-executive leads to review all guidance and case review reports as part of their monthly meeting with FTSUG	Learning from NGO's report and other organisation to be included in the Trust Board reports
Senior leaders regularly reflect on how they respond to feedback, learn and continually improve and encourage the same throughout the organisation.	Met -Established Qi process in place to improve learning -Using OD to help team and leaders to reflect and		Update to be feedback to the forum below; 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board

	develop their workforce		
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.	In the first year of FTSU	To be completed post first annual report	In first year of FTSU
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.	FTSU Policy is being reviewed	N/A	Policy is in review process awaiting JSC approval
A sample of cases is quality assured to ensure: • 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	As part of the annual audit planned, external audit will review FTSU random case.	Still in the first year if FTSU Cases leading to Whistleblowing investigation are reviewed by CEO. CEO to thank individual who raised the concern upon completion of	Learning and feedback to be shared with forum below; 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board

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 monitored		investigation and report.	
Positive outcomes from speaking up cases are promoted and as a result workers are more confident to speak up.	MET -FTSU team are developing newsletter to share positive speak up stories	There are plans to attend learning lesson sessions taking place centrally in the Trust as well as locally within each directorate.	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Individual responsibilities			
Chief executive and chair			
The chief executive is responsible for appointing the FTSU Guardian.	MET -The chief exec was involved in the direct appointment of the FTSUG -Involvement of stakeholders	N/A	Selection and interview process.

The chief executive is accountable for ensuring that FTSU arrangements meet the needs of the workers in their trust.	MET -Fortnightly needing between the FTSUG and the chief exec -Action plan log monitors actions to be taken by chief exec	N/A	Action to shared as appropriate in each forum; 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
The chief executive and chair are responsible for ensuring the annual report contains information about FTSU.	MET	Plan for FTSU team to submit Manual report at the next board meeting in November 2018	Report will be submitted to the Trust board.
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.	MET -The chief exec and chair are copied in and sent relevant communications from the National Guardian Office	N/A	
Both the chief executive and chair are key sources of advice and support for their FTSU Guardian and meet with them regularly.	MET -Regular communication between chief exec and chair with the FTSU	Developing clear action from each meeting to determine responsibility with timely follow up of actions carried out	Actions and outcome from meeting to be shared with Trust board as appropriate

Executive lead for FTSU			
Ensuring they are aware of latest guidance from National Guardian's Office.	Met	FTSU to share relevant updated with exec leads	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Overseeing the creation of the FTSU vision and strategy.	In progress	FTSU vision and strategy in development	FTSU vision and strategy will be shared with Trust board once finalised
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.	MET -Role was advertised externally and recruitment in accordance with JD and guidance from the NGO	None required	Selection and interview process
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.	MET -The FTSUG was recently reviewed and increased from 2.5 days to 3 days per week -FTSU to be reviewed when required -Appointment of FTSU	N/A	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board

	ambassador -Senior independent director is able to provider cover for FTSU		
Ensuring that a sample of speaking up cases have been quality assured.	In progress -FTSU cases to be audited as part of annual audit	This is in progress	Role is within the first year
Conducting an annual review of the strategy, policy and process.	In progress	This is in progress	Role is within the first year
Operationalising the learning derived from speaking up issues.	MET -Use to communications and Trust intranet to share cases of speaking up across the -Sharing Trust Speaking up case study examples	-To develop learning approach that is scalable so people are learning together.	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board
Ensuring allegations of detriment are promptly and fairly investigated and acted on.	MET -Any allegation of detriment is escalated to chief exec and chief nurse	Clearer process to be detailed in the speaking up policy about how this will be acted upon. -Policy in progress	This will be reflected in the Trust Speaking Up policy

Providing the board with a variety of assurance about the effectiveness of the trusts strategy, policy and process.	Quarterly board paper is submitted to the board and presented by the FTSUG	Address challenges with cases which are unresolved and develop solution with board. Plan for audit will also help to give assurance about effectiveness and processes in place.	Freedom To Speak Up cases and updates is regularly submitted to the board.
Non-executive lead for FTSU			
Ensuring they are aware of latest guidance from National Guardian's Office.	MET -Read regular newsletters, e mails and briefings from national and regional leads	None	Non-Executive Director contributes actively to regular Board reports and discussion.
Holding the chief executive, executive FTSU lead and the board to account for implementing the speaking up strategy.	MET -Non Executive Director meets FTSU guardian regularly and identifies issues which may need to be raised with CEO and Execs. Also challenges at Board meetings when papers are presented.	None	NED gives regular input and updates at Trust board

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.	MET -Non Executive Director tried to stimulate debate, for example in response to staff survey, or discussing the role of the Unions in speaking up, both at formal and informal meetings.	None	Regular input and update at Trust board
Role-modelling high standards of conduct around FTSU.	MET	None	General feedback regarding Non-Executive Director role.
Acting as an alternative source of advice and support for the FTSU Guardian.	MET -This is apparent in terms of Non Executive role in relation to offering advice to Exec directors and Board, also as Senior Independent Director as hold both roles.	NED lead is competent and capable to deal with any issues which may arise.	Regular input and update at Trust board

Overseeing speaking up concerns regarding board members.	MET -Non Exec lead speaks to all new Executives and Non Executives, and has also spoken to Governors in the past, about Senior Independent Director role and Freedom to Speak Up.	Need to check what information new Governors receive in relation to speaking up and Senior Independent Director role.	Regular input and update at Trust board
Human resource and organisational development directors			
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.	FTSUG works closely with HR staff whilst maintaining independence in cases.	We are about to implement an electronic case management system called ER Case Tracker, which the FTSUG will have the appropriate access to. This will support her in managing cases and reporting. This will also support us with the triangulation of information and reporting. Where appropriate we	This is not in in place but we can agree an update 6 months post implementation to review its impact.

		can include anonymous metrics in the HR dashboard. The FTSUG also has access to the Concerns@elft mailbox.	
Ensuring that HR culture and practice encourage and support speaking up and that learning in relation to workers' experience is disseminated across the trust.	MET -Regular meetings with HR Business partners and HR advisors are used as a forum to share concerns and lessons learnt.	The FTSUG is invited to attend regular HR Leadership (which include HR Business Partners who are assigned to localities). and Employee Relations team meetings. The Trust is formalising the FTSUG's attendance at the Trust's Joint Staff Side Committee and Workforce Committee	Regular meetings with HR leadership will provide the forum to talk about speak up cases and share lessons which each HR leaders will share with their different directorate.
Ensuring that workers have the right knowledge, skills and capability to speak up and that managers listen well and respond to	MET -There are a series of speaking up training and session taking place for	Joint working with HR BP and advisors to develop training for staff and managers locally.	

	staff and managers across the Trust.		
Medical director and director of nursing ;			
Ensuring that the FTSU Guardian has appropriate support and advice on patient safety and safeguarding issues.	MET -Trust has a good patient safety process in place. -Responds actively when things go wrong. - There is regular communication with the FTSUG to offer advice and support when required	-Trust is developing a system to review to learn from incidents when things go right. -FTSU to identify and work with all the different patient safety leads in the Trust	Serious incident reviews Learning lesson seminars There are also plans to carry out SI reviews on 2 big compliments which focus on when things have gone right.
Ensuring that effective and, as appropriate, immediate action is taken when potential patient safety issues are highlighted by speaking up.	MET -Staff are encouraged to report all incident on Datix. Datix is monitored closely and cascaded to relevant group which includes medical director and chief nurse who uses this as avenue to pick up and address patient safety issues.	N/A	1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board

Ensuring learning is operationalised within the teams and departments that they oversee.	MET -Trust holds quarterly learning lessons seminars and local learning lessons - Directorates clinical governance newsletter -Near misses reviewed -Learning lessons	N/A Create learning lessons fro when things have gone well, derived from high level compliments	Learning will be shared in the forum below; 1. Reporting to exec and non-exec 2.REMCO 3.Quality Assurance 4.Trust Board