

# 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
<b>Our expectations</b>			
<b>Leaders are knowledgeable about FTSU</b>			
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.	<p><b>MET</b></p> <p>FTSU information is shared through a quarterly board report.</p> <p>FTSU Guardian receives and shares guidance from National Guardian's Office.</p> <p>FTSU Guardian meets with CEO on monthly basis.</p>	<p>Continued development of what is reported.</p> <p>FTSU reporting to be included in the remit of Audit Committee to allow time for more detailed consideration</p>	<p>Quarterly FTSU reports received at TB.</p> <p>FTSU Guardian attends national guardian events.</p>
Senior leaders can readily articulate the trust's FTSU vision and key learning from issues that workers have	<p><b>MET</b></p> <p>The Trust launched staff</p>	The Trust recognises that there is still a gap in	Staff Charter Behaviours Framework

<p>spoken up about and regularly communicate the value of speaking up.</p>	<p>charter and behaviours framework in 2018 which incorporates speaking up principles.</p> <p>Speaking Up is regularly communicated in CEO Blog and Team Brief which cascades through organisation. Speaking Up features in Exec presentation at Induction</p>	<p>terms of learning from speaking up issues.</p> <p>The Trust are considering how this can be incorporated in other learning.</p>	<p>CEO Blog</p> <p>Team Brief</p> <p>Induction Slide</p>
<p>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.</p>	<p><b>MET</b></p> <p>The Trust launched staff charter and behaviours framework in</p>		<p>Leadership strategy and development programme in place.</p>

	2018 which incorporates speaking up principles.		
Senior leaders can describe the part they played in creating and launching the trust's FTSU vision and strategy.	<b>MET</b> There was Trustwide engagement in development of staff charter and behaviours framework which were signed off by TB		
<b>Leaders have a structured approach to FTSU</b>			
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.	<b>NOT MET</b>	Develop Strategy	
There is an up-to-date <a href="#">speaking up policy</a> that reflects the minimum standards set out by NHS Improvement.	<b>MET</b> Speaking Up Policy in line with minimum standards approved at Trust	Regular review and refresh.	Policy document

	Board and published.		
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.	<b>NOT MET</b>	To be developed	
Progress against the strategy and compliance with the policy are regularly reviewed using a range of qualitative and quantitative measures.	<b>NOT MET</b>	To be developed	
<b>Leaders actively shape the speaking up culture</b>			
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.	<b>MET</b>		Discussed quarterly at Board. Non-Exec Champion
They can evidence that they robustly challenge themselves to improve patient safety, and develop a culture of continuous improvement, openness and honesty.	<b>MET</b>		QSIP every month
Senior leaders are visible, approachable and use a variety of methods to seek and act on feedback from workers.	<b>MET</b>		Ward walkround

Senior leaders prioritise speaking up and work in partnership with their FTSU Guardian.	<b>MET</b>		All issues raised addressed promptly
Senior leaders model speaking up by acknowledging mistakes and making improvements.	<b>MET</b>		Demonstrated through improvement programme
The board can state with confidence that workers know how to speak up; do so with confidence and are treated fairly.	<b>NOT MET</b>	Continued Comms programme.  FTSU Guardian speaking at preceptorship programme for New Nurses. Develop links to new doctors programme.	Not fully assured but position improving most recent data. CQC reported workers not being aware
<b>Leaders are clear about their role and responsibilities</b>			
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.	<b>MET</b>	Additional action define roles in strategy or policy.	Director of HR, Gill Ponder; Non-Executive are aware of guidance and overseeing speaking up..

They, along with the chief executive and chair, meet regularly with the FTSU Guardian and provide appropriate advice and support.	<b>MET</b>		FTSU Guarding has regular 1:1's with the Chief Executive, Director of HR and Non-Executive
Other senior leaders support the FTSU Guardian as required.	<b>MET</b>		Support from all Board members
<b>Leaders are confident that wider concerns are identified and managed</b>			
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.	<b>MET</b>		FTSU Guardian provided with data from Staff Survey and local pulse survey to allow triangulation of issues, hotspots etc.
The FTSU Guardian has ready access to senior leaders and others to enable them to escalate patient safety issues rapidly, preserving confidence as appropriate.	<b>MET</b>		FTSU Guardian role as Trust Secretary has assured access to Board members.
<b>Leaders receive assurance in a variety of forms</b>			

Workers in all areas know, understand and support the FTSU vision, are aware of the policy and have confidence in the speaking up process.	<b>PARTLY MET</b>	Continued Communications process.	Number of referrals continue to increase. Local pulse survey showing improvements. CQC report evidenced some issues.
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	<b>MET</b>		Network established for vulnerable groups FTSU Guardian links with these networks.
Speak up issues that raise immediate patient safety concerns are quickly escalated	<b>MET</b>		Escalated to Director of Nursing or Medical Director immediately.
Action is taken to address evidence that workers have been victimised as a result of speaking up, regardless of seniority	<b>PARTLY MET</b>		FTSU Guardian report records where this is sighted by those speaking up. Chief Executive repeats messages in Communications and policy.
Lessons learnt are shared widely both within relevant service areas and across the trust	<b>NOT MET</b>	Learning from to be developed	

The handling of speaking up issues is routinely audited to ensure that the FTSU policy is being implemented	<b>NOT MET</b>	Audit review process to be implemented	
FTSU policies and procedures are reviewed and improved using feedback from workers	<b>NOT MET</b>	Audit review process to be implemented	
The board receives a report, at least every six months, from the FTSU Guardian.	<b>MET</b>		Quarterly Board report
<b>Leaders engage with all relevant stakeholders</b>			
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.	<b>PARTLY MET</b>	Development of FTSU Strategy and Plan	Engagement with staff charter and behaviour framework
Issues raised via speaking up are part of the performance data discussed openly with commissioners, CQC and NHS Improvement.	<b>PARTLY MET</b>		Reported in to Trust Board
Discussion of FTSU matters regularly takes place in the public section of the board meetings (while respecting the confidentiality of individuals).	<b>MET</b>		Reported into Public Trust Board quarterly
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.	<b>NOT MET</b>	Consider detail to include in Annual Report for 2018/19	

Reviews and audits are shared externally to support improvement elsewhere.	<b>NOT MET</b>	Reviews and Audits to be implemented	
Senior leaders work openly and positively with regional FTSU Guardians and the National Guardian to continually improve the trust's speaking up culture	<b>MET</b>		FTSU has good relationship with Senior Leaders and through guardian to National guardian
Senior leaders encourage their FTSU Guardians to develop bilateral relationships with regulators, inspectors and other local FTSU Guardians	<b>MET</b>		FTSU Guardian encouraged to attend regional and national events. Free to access CQC.
Senior leaders request external improvement support when required.	<b>MET</b>		Buddying arrangements, External financial turnaround and Quality turnaround support.
<b>Leaders are focused on learning and continual improvement</b>			
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.	<b>PARTLY MET</b>	Learning needs to be improved	Quarterly report to Trust Board

Senior leaders and the FTSU Guardian engage with other trusts to identify best practice.	<b>MET</b>		Regional network share ideas and learning. Buddying arrangements.
Executive and non-executive leads, and the FTSU Guardian, review all guidance and case review reports from the National Guardian to identify improvement possibilities.	<b>MET</b>		Presented to ET meeting and covered in quarterly guardian report.
Senior leaders regularly reflect on how they respond to feedback, learn and continually improve and encourage the same throughout the organisation.	<b>MET</b>		Well Led reviews, Board development and facilitated sessions for Board.
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.	<b>NOT MET</b>	Strategy to be developed	
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.	<b>NOT MET</b>	Schedule regular review	

<p>A sample of cases is quality assured to ensure:</p> <ul style="list-style-type: none"> <li>• the investigation process is of high quality; that outcomes and recommendations are reasonable and that the impact of change is being measured</li> <li>• workers are thanked for speaking up, are kept up to date though out the investigation and are told of the outcome</li> <li>• Investigations are independent, fair and objective; recommendations are designed to promote patient safety and learning; and change will be monitored</li> </ul>	<b>NOT MET</b>	Audit and review process to be introduced	
Positive outcomes from speaking up cases are promoted and as a result workers are more confident to speak up.	<b>PARTLY MET</b>	Introduce speaking up story to board	FTSU Guardian talks about in training provided.
<b>Individual responsibilities</b>			
<b>Chief executive and chair</b>			
The chief executive is responsible for appointing the FTSU Guardian.	<b>MET</b>		CEO agreed the appointment of the FTSU Guardian

The chief executive is accountable for ensuring that FTSU arrangements meet the needs of the workers in their trust.	<b>MET</b>		Chief Executive continues to take feedback on speaking up arrangements.
The chief executive and chair are responsible for ensuring the annual report contains information about FTSU.	<b>NOT MET</b>	Review opportunity for content in annual report 2018/19	Not included in 2017/18 annual report
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.	<b>MET</b>		FTSU Guardian encouraged to attend local and national network events.
Both the chief executive and chair are key sources of advice and support for their FTSU Guardian and meet with them regularly.	<b>MET</b>		Regular 1:1 with CEO and Chair
<b>Executive lead for FTSU</b>			
Ensuring they are aware of latest guidance from National Guardian's Office.	<b>MET</b>		All guidance shared
Overseeing the creation of the FTSU vision and strategy.	<b>NOT MET</b>	Development of Specific FTSU strategy required	
Ensuring the FTSU Guardian role has been implemented, using a fair recruitment process in	<b>PARTLY MET</b>	FTSU Guardian appointed pre-guidance	

accordance with the example job description and other guidance published by the National Guardian.		publication. Next steps to appoint further champion using guidance published.	
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.	<b>PARTLY MET</b>	Recruitment of deputy to allow ring fenced time for FTSU Guardian	Other staff named in policy for periods of absence
Ensuring that a sample of speaking up cases have been quality assured.	<b>NOT MET</b>	Introduce quality assurance/audit process	
Conducting an annual review of the strategy, policy and process.	<b>NOT MET</b>	Introduce annual review	
Operationalising the learning derived from speaking up issues.	<b>NOT MET</b>	Further actions needed to develop process to learn from speaking up	
Ensuring allegations of detriment are promptly and fairly investigated and acted on.	<b>MET</b>		Exec lead provides support to FTSU Guardian when issues raised

Providing the board with a variety of assurance about the effectiveness of the trusts strategy, policy and process.	<b>NOT MET</b>	Strategy to be developed	
<b>Non-executive lead for FTSU</b>			
Ensuring they are aware of latest guidance from National Guardian's Office.	<b>MET</b>		Non Executive lead receives guidance from National Guardian's Office
Holding the chief executive, executive FTSU lead and the board to account for implementing the speaking up strategy.	<b>NOT MET</b>	Strategy to be set	
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.	<b>NOT MET</b>	To follow from strategy	
Role-modelling high standards of conduct around FTSU.	<b>MET</b>		
Acting as an alternative source of advice and support for the FTSU Guardian.	<b>MET</b>		Routine dialogue with FTSU Guardian.

			FTSU Guardian reports advice available when sought.
Overseeing speaking up concerns regarding board members.	<b>MET</b>		Named in FTSU policy  No such issues have emerged.
<b>Human resource and organisational development directors</b>			
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.	<b>PARTLY MET</b>		FTSU Guardian works with Director of HR and HR team to consider results of staff survey and pulse survey to identify hotspots or barriers to speaking up.
Ensuring that HR culture and practice encourage and support speaking up and that learning in relation to workers' experience is disseminated across the trust.	<b>MET</b>	Development of learning from experiences to be developed further.	Leadership development programme and staff charter behaviours framework
Ensuring that workers have the right knowledge, skills and capability to speak up and that managers listen well and respond to issues raised effectively.	<b>PARTLY MET</b>	Development of guide for managers about how	Staff survey results  Feedback to FTSU Guardian

		to handle issues when workers speak up.	
<b>Medical director and director of nursing</b>			
Ensuring that the FTSU Guardian has appropriate support and advice on patient safety and safeguarding issues.	<b>MET</b>		FTSU Guardian has direct access to MD and DON in relation to patient safety issues.
Ensuring that effective and, as appropriate, immediate action is taken when potential patient safety issues are highlighted by speaking up.	<b>MET</b>		FTSU Guardian reports that matters raised have been responded to immediately when escalated.
Ensuring learning is operationalised within the teams and departments that they oversee.	<b>NOT MET</b>	This information is not gathered. Systems to be developed to allow triangulation of information	