

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.	<p>MET</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 spoken up about and regularly communicate the value	<p>MET</p> <p>The Trust launched staff</p>	The Trust recognises that there is still a gap in terms of learning from	<p>Staff Charter</p> <p>Behaviours Framework</p>

<p>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>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>MET</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.	MET There was Trustwide engagement in development of staff charter and behaviours framework which were signed off by TB		
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.	NOT MET	Develop Strategy	
There is an up-to-date speaking up policy that reflects the minimum standards set out by NHS Improvement.	MET 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.	NOT MET	To be developed	
Progress against the strategy and compliance with the policy are regularly reviewed using a range of qualitative and quantitative measures.	NOT MET	To be developed	
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		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.	MET		QSIP every month
Senior leaders are visible, approachable and use a variety of methods to seek and act on feedback from workers.	MET		Ward walkround

Senior leaders prioritise speaking up and work in partnership with their FTSU Guardian.	MET		All issues raised addressed promptly
Senior leaders model speaking up by acknowledging mistakes and making improvements.	MET		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.	NOT MET	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
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	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	MET		FTSU Guarding has regular 1:1's with the Chief Executive,

appropriate advice and support.			Director of HR and Non-Executive
Other senior leaders support the FTSU Guardian as required.	MET		Support from all Board members
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		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.	MET		FTSU Guardian role as Trust Secretary has assured access to Board members.
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.	PARTLY MET	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	MET		Network established for vulnerable groups FTSU Guardian links with these networks.
Speak up issues that raise immediate patient safety concerns are quickly escalated	MET		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	PARTLY MET		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	NOT MET	Learning from to be developed	
The handling of speaking up issues is routinely audited to ensure that the FTSU policy is being implemented	NOT MET	Audit review process to be implemented	

FTSU policies and procedures are reviewed and improved using feedback from workers	NOT MET	Audit review process to be implemented	
The board receives a report, at least every six months, from the FTSU Guardian.	MET		Quarterly Board report
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.	PARTLY MET	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.	PARTLY MET		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).	MET		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.	NOT MET	Consider detail to include in Annual Report for 2018/19	
Reviews and audits are shared externally to support	NOT MET	Reviews and Audits to be implemented	

improvement elsewhere.			
Senior leaders work openly and positively with regional FTSU Guardians and the National Guardian to continually improve the trust's speaking up culture	MET		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	MET		FTSU Guardian encouraged to attend regional and national events. Free to access CQC.
Senior leaders request external improvement support when required.	MET		Buddying arrangements, External financial turnaround and Quality turnaround support.
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 and improve workers' experience.	PARTLY MET	Learning needs to be improved	Quarterly report to Trust Board

Senior leaders and the FTSU Guardian engage with other trusts to identify best practice.	MET		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.	MET		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.	MET		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.	NOT MET	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.	NOT MET	Schedule regular review	
A sample of cases is quality assured to ensure: <ul style="list-style-type: none"> the investigation process is of high quality; that 	NOT MET	Audit and review process to be	

<p>outcomes and recommendations are reasonable and that the impact of change is being measured</p> <ul style="list-style-type: none"> 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 monitored 		introduced	
Positive outcomes from speaking up cases are promoted and as a result workers are more confident to speak up.	PARTLY MET	Introduce speaking up story to board	FTSU Guardian talks about in training provided.
Individual responsibilities			
Chief executive and chair			
The chief executive is responsible for appointing the FTSU Guardian.	MET		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	MET		Chief Executive continues to take

their trust.			feedback on speaking up arrangements.
The chief executive and chair are responsible for ensuring the annual report contains information about FTSU.	NOT MET	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.	MET		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.	MET		Regular 1:1 with CEO and Chair
Executive lead for FTSU			
Ensuring they are aware of latest guidance from National Guardian's Office.	MET		All guidance shared
Overseeing the creation of the FTSU vision and strategy.	NOT MET	Development of Specific FTSU strategy required	
Ensuring the FTSU Guardian role has been implemented, using a fair recruitment process in accordance with the example job description and other	PARTLY MET	FTSU Guardian appointed pre-guidance publication. Next steps to appoint further	

guidance published by the National Guardian.		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.	PARTLY MET	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.	NOT MET	Introduce quality assurance/audit process	
Conducting an annual review of the strategy, policy and process.	NOT MET	Introduce annual review	
Operationalising the learning derived from speaking up issues.	NOT MET	Further actions needed to develop process to learn from speaking up	
Ensuring allegations of detriment are promptly and fairly investigated and acted on.	MET		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.	NOT MET	Strategy to be developed	
Non-executive lead for FTSU			

Ensuring they are aware of latest guidance from National Guardian's Office.	MET		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.	NOT MET	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.	NOT MET	To follow from strategy	
Role-modelling high standards of conduct around FTSU.	MET		
Acting as an alternative source of advice and support for the FTSU Guardian.	MET		Routine dialogue with FTSU Guardian. FTSU Guardian reports advice available when sought.
Overseeing speaking up concerns regarding board members.	MET		Named in FTSU policy No such issues have emerged.

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.	PARTLY MET		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.	MET	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.	PARTLY MET	Development of guide for managers about how to handle issues when workers speak up.	Staff survey results Feedback to FTSU Guardian
Medical director and director of nursing			

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