

# 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.		As ongoing development and promotion of the FTSU agenda focused time is planned with the Trusts Senior Leadership Team to update and refresh leaders and empower leads further. Planned introduction of aspects of FTSU agenda to be included on new leaders induction and a revised focus at Trust orientation	The Trust Board is provided with a quarterly update on the progress and actions associated with the FTSU agenda as part of the HR Leadership, Culture and OD report.  Evidence: ✓ Quarterly report ✓ Orientation Slides ✓ Leaders Induction Slides
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.			
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.			
Senior leaders can describe the part they played in creating and launching the trust's FTSU vision and strategy.			
<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.		Developed Trust Policy relating to FTSU since 2015 that has been	The Trust Board is provided with a quarterly update on the progress

There is an up-to-date <a href="#">speaking up policy</a> that reflects the minimum standards set out by NHS Improvement.		regularly reviewed and updated in accordance with revised guidance.	and actions associated with the FTSU agenda as part of the HR Leadership, Culture and OD 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.		Current Policy document is being reviewed in light of revised national guidance.	Evidence: ✓ Policy ✓ Policy is reviewed annually in accordance with guidance
Progress against the strategy and compliance with the policy are regularly reviewed using a range of qualitative and quantitative measures.		Development and introduction of a FTSU strategy that has focus and links to the Trust's vision that is aligned to recent and revised guidance is due to be in place by the end of 2018/19 Q3	
<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.		The Trust has developed a set of values that promotes all Trust employees speaking up.	The Trust Board is provided with a quarterly update on Leadership, Culture and OD as part of the HR board report.
They can evidence that they robustly challenge themselves to improve patient safety, and develop a culture of continuous improvement, openness and			

honesty.		The CARE values underpin the Trust's vision about providing "Dedicated outstanding care".	As part of the report, evidence associated with leadership and how aspects of culture are monitored and tracked.
Senior leaders are visible, approachable and use a variety of methods to seek and act on feedback from workers.			
Senior leaders prioritise speaking up and work in partnership with their FTSU Guardian.		The offer of developing culture further is being aligned and linked to a Trust wide Culture and Leadership Programme.	Evidence: <ul style="list-style-type: none"> <li>✓ Staff Survey</li> <li>✓ Quarterly Pulse Survey</li> <li>✓ Culture and Leadership Programme</li> </ul>
Senior leaders model speaking up by acknowledging mistakes and making improvements.			
The board can state with confidence that workers know how to speak up; do so with confidence and are treated fairly.		As part of the CARE values work that is being developed there is a link to the FTSU agenda and how concerns should and will be addressed and taken forward.	As part of the FTSU month in October the roles and responsibilities of leaders will be promoted and information will be shared with board following the completion of this month long event.

<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.		The Trust, since 2015 has had a dedicated named executive and a named non-executive director responsible for speaking up.	The Trust has an agreed policy in place that defines the roles and responsibilities of the FTSU agenda. In light of recent guidance this is being refined and updated. Regular opportunities are also in place where the following duties are explored and discussed: <ul style="list-style-type: none"> <li>✓ Monthly meeting between the guardians and the Deputy Director of HR</li> <li>✓ Regular meetings between named executive and a named non-executive director</li> <li>✓ FTSU Guardians have regular access with the Chief</li> </ul>
They, along with the chief executive and chair, meet regularly with the FTSU Guardian and provide appropriate advice and support.		The group of FTSU guardians have and continue to meet with the Trust's Chief Executive. Additional opportunities are being explored to develop this further.	
Other senior leaders support the FTSU Guardian as required.		Regular opportunities of support are provided from a variety of senior leaders including relevant Directors and Deputies.	

			Executive.
<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.		All FTSU Guardians have access to DATIX where staffing concerns are notified to them. Development is taking place with the GSU to establish how information can be provided in a more structured format to proactively identify potential concerns	The Trust board is provided with a quarterly update on the progress and actions associated with the FTSU agenda as part of the HR Leadership, Culture and OD report. The report captures how concerns are raised and the approach undertaken to resolve such matters.
The FTSU Guardian has ready access to senior leaders and others to enable them to escalate patient safety issues rapidly, preserving confidence as appropriate.		All FTSU Guardians have access to senior leaders where issues can be raised and addressed as required.	Evidence: <ul style="list-style-type: none"> <li>✓ Staff Survey</li> <li>✓ Quarterly Pulse Survey</li> <li>✓ Culture and Leadership Programme</li> <li>✓ FTSU quarterly report</li> </ul>

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.		Key messages to the FTSU vision are provided to new starters at the Trust orientation along with plans to include information at the annual mandatory training update along with providing key information at local induction	The Trust board is provided with a quarterly update on Leadership, Culture and OD as part of the HR board report. As part of the report evidence associated with leadership and how aspects of culture are monitored and tracked, the report will also need to include how aspects of the FTSU agenda can be included with reference to concerns been addressed. Evidence: <ul style="list-style-type: none"> <li>✓ Staff Survey</li> <li>✓ Quarterly Pulse Survey</li> <li>✓ Culture and Leadership Programme</li> <li>✓ FTSU quarterly report</li> </ul>
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		Revised and updated Trust policy will explore in more detail how such matters will be quickly escalated included exec leads for such matters.	
Speak up issues that raise immediate patient safety concerns are quickly escalated		Such arrangements are included in Trust policy, but as part of the current review this will be explored in more detail to ensure how such matters will be quickly addressed	
Action is taken to address evidence that workers have been victimised as a result of speaking up, regardless of seniority			



<p>Lessons learnt are shared widely both within relevant service areas and across the trust</p>		<p>In relation to matters of support and lessons learned from FTSU concerns, lessons of reflections are considered and reviewed with service areas. Aspects of outcomes are reviewed and included in any lessons learned and tracked through relevant forums for visibility.</p>	
<p>The handling of speaking up issues is routinely audited to ensure that the FTSU policy is being implemented</p>		<p>The revised Trust policy identifies in more detail how issues will be routinely audited to form regular opportunities for review and reflection.</p>	
<p>FTSU policies and procedures are reviewed and improved using feedback from workers</p>		<p>Feedback to process and policies is reviewed periodically taking on board lessons learned and user feedback in relation to its development ensuring process and policy is fit for purpose.</p>	<p>The Trust has a policy document that is reviewed annually and agreed in partnership. In light of recent guidance the document is being reviewed and will be signed of at executive level</p>

<p>The board receives a report, at least every six months, from the FTSU Guardian.</p>		<p>Commitment from the Trust board for matters relating to the FTSU agenda to be discussed at least 4 times a year as part of the HR Leadership, Culture and OD report.</p>	<p>The HR Leadership, Culture and OD report, introduced in April 2018, will include a quarterly update relating to the FTSU agenda. Evidence: ✓ A report was received by the Trust public board in December from a FTSU guardian.</p>
<p><b>Leaders engage with all relevant stakeholders</b></p>			
<p>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.</p>		<p>As part of regular discussions with external stakeholders, matters relating to the FTSU agenda are openly shared and promoted.</p>	<p>The HR Leadership, Culture and OD report, introduced in April 2018, will include a quarter update relating to the FTSU agenda. Evidence: ✓ Information is presented at board on a quarterly basis regarding the FTSU agenda</p>
<p>Issues raised via speaking up are part of the performance data discussed openly with commissioners, CQC and NHS Improvement.</p>			
<p>Discussion of FTSU matters regularly takes place in the public section of the board meetings (while respecting the confidentiality of individuals).</p>		<p>Commitment from the Trust board for matters relating to the FTSU agenda to be discussed</p>	

		<p>at least 4 times a year as part of the HR Leadership, Culture and OD report.</p> <p>Commitment of attendance for an FTSU guardian to attend public board every 6 months.</p>	<p>✓ A report was received by the Trust public board in December 2017 from an FTSU guardian.</p> <p>✓ Time is planned for an FTSU guardian to attend board on a 6 monthly basis.</p>
<p>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.</p>		<p>The annual report for 2017-18 did not capture or include anonymised data relating to speaking up. As the guidance at the time made no reference to this requirement, consideration is being made to include this requested action in the 2018-19 annual report. This will be in conjunction with relevant guidance and good practice at the time.</p>	
<p>Reviews and audits are shared externally to support improvement elsewhere.</p>		<p>Each of the Trust Guardians regularly attend the regional FTSU Guardians network events and have protected time to attend such sessions along with relevant time to engage with relevant</p>	<p>Updates in regards to national and regional engagement along with internal and external discussions will be included as part of the six monthly updated that the FTSU guardian will provide to board.</p>
<p>Senior leaders work openly and positively with regional FTSU Guardians and the National Guardian to continually improve the trust's speaking up culture</p>			
<p>Senior leaders encourage their FTSU Guardians to develop bilateral relationships with regulators, inspectors and other local FTSU Guardians</p>			

Senior leaders request external improvement support when required.		internal and external parties to promote and develop the FTSU agenda.	Aspects with reference to areas of shortfall and areas of development of good practice will be included.
<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.		A revised approach through policy and strategy makes clear the role of the FTSU in relation to feedback and how this is shared.	The Trust board is provided with a quarterly update on the progress and actions associated with the FTSU agenda as part of the HR Leadership, Culture and OD report.
Senior leaders and the FTSU Guardian engage with other trusts to identify best practice.		Each of the Trust's FTSU Guardians have time to attend and engage with local FTSU Guardians in relation to discussing best practice and areas of development.	The report will have additional focus on aspects of learning and continual improvement  Evidence: ✓ Quarterly report
Executive and non-executive leads, and the FTSU Guardian, review all guidance and case review reports from the National Guardian to identify improvement possibilities.		Aspects of guidance and updated information are reviewed and considered in relation to	Areas of change and proposals of change following national guidance are provided

		areas of improvement.	and updated to the public board
Senior leaders regularly reflect on how they respond to feedback, learn and continually improve and encourage the same throughout the organisation.		A revised approach through policy and strategy makes clear the role of FTSU in relation to feedback and how this is shared.	Evidence: ✓ A paper was provided to the May board in relation to recent guidance changes
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 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.		Developed Trust Policy relating to FTSU since 2015 has been regularly reviewed and updated in accordance with revised guidance. The current Policy document is in review again following revised guidance from the National Guardians Office.	The Trust board is provided with a quarterly update on the progress and actions associated with the FTSU agenda as part of the HR Leadership, Culture and OD report.
A sample of cases is quality assured to ensure: <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 throughout 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</li> </ul>		The Trust's guardians have taken action to conduct relevant	Future reports will include aspects of learning and reflection associated with themes that have been presented.

will be monitored		reviews associated with sample cases and share experiences.	As part of the planned six monthly attendance of an FTSU guardian at Trust board, a selection of quality assured cases will be presented including aspects of learning and areas of opportunity.
Positive outcomes from speaking up cases are promoted and as a result workers are more confident to speak up.		Information was showcased in relation to the FTSU agenda at the board in December, where a case study was presented including lessons learned and opportunities.	
<b>Individual responsibilities</b>			
<b>Chief executive and chair</b>			
The chief executive is responsible for appointing the FTSU Guardian.		A Trust strategy for the FTSU agenda is being developed and will be in place by the end of Q3 2018/19	
The chief executive is accountable for ensuring that FTSU arrangements meet the needs of the workers in their trust.		In addition to this revised and updated duties	

The chief executive and chair are responsible for ensuring the annual report contains information about FTSU.		following the national guidance have been included incorporated in the recently developed FTSU policy
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.		
Both the chief executive and chair are key sources of advice and support for their FTSU Guardian and meet with them regularly.		
<b>Executive lead for FTSU</b>		
Ensuring they are aware of latest guidance from National Guardian's Office.		A Trust strategy for the FTSU agenda is being developed and will be in place by the end of Q3 2018/19 with reference to the vision and aim of the agenda.
Overseeing the creation of the FTSU vision and strategy.		
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.		In addition to this revised and updated duties following the national guidance have been included incorporated in the recently developed FTSU policy with reference to the requirements of the Trusts Executive lead for FTSU
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.		

Ensuring that a sample of speaking up cases have been quality assured.		
Conducting an annual review of the strategy, policy and process.		
Operationalising the learning derived from speaking up issues.		
Ensuring allegations of detriment are promptly and fairly investigated and acted on.		
<b>Non-executive lead for FTSU</b>		
Ensuring they are aware of latest guidance from National Guardian's Office.		A Trust strategy for the FTSU agenda is being developed and will be in place by the end of Q3 2018/19 with reference to the vision and aim of the agenda.
Holding the chief executive, executive FTSU lead and the board to account for implementing the speaking up strategy.		In addition to this revised and updated duties following the national guidance have been included incorporated in the recently developed FTSU policy with reference to the requirements of the Trusts
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.		Non-Executive lead for FTSU
Role-modelling high standards of conduct around FTSU.		



Acting as an alternative source of advice and support for the FTSU Guardian.		
Overseeing speaking up concerns regarding board members.		
<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.		A Trust strategy for the FTSU agenda is being developed and will be in place by the end of Q3 2018/19 with reference to the vision and aim of the agenda.
Ensuring that HR culture and practice encourage and support speaking up and that learning in relation to workers' experience is disseminated across the trust.		In addition to this revised and updated duties following the national guidance have been included incorporated in the recently developed FTSU policy with reference to the requirements of the Trusts HR and OD Director.
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>Medical director and director of nursing</b>		
Ensuring that the FTSU Guardian has appropriate support and advice on patient safety and safeguarding issues.		A Trust strategy for the FTSU agenda is being developed and will be in place by the end of Q3 2018/19 with reference to the vision and aim of the

<p>Ensuring that effective and, as appropriate, immediate action is taken when potential patient safety issues are highlighted by speaking up.</p>		<p>agenda.</p>
<p>Ensuring learning is operationalised within the teams and departments that they oversee.</p>		<p>In addition to this revised and updated duties following the national guidance have been included incorporated in the recently developed FTSU policy with reference to the requirements of the Trusts Medical Director and Chief Nurse</p>