# SPEAKING UP POLICY

(Previously the ‘Whistleblowing’ and ‘Freedom to Speak up’ policy and procedure)

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<th>Primary Intranet Location</th>
<th>Version Number</th>
<th>Next Review Year</th>
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<td>Human Resources</td>
<td>V.1</td>
<td>2023</td>
<td>January 2021</td>
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<table>
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<tr>
<th>Current Author</th>
<th>Sarah Swanepoel Young</th>
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<tbody>
<tr>
<td>Author’s Job Title</td>
<td>Human Resources Business Partner</td>
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<td>Department</td>
<td>Human Resources</td>
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<td>Date</td>
<td>May 2020</td>
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<td>Ratifying / Monitoring Committee</td>
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<tr>
<td>Owner</td>
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<td>Owner’s Job Title</td>
<td>Deputy CEO</td>
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<td>Chair Joint Staff Consultation Committee</td>
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<td>Director of HR</td>
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It is the responsibility of the staff member accessing this document to ensure that they are always reading the most up to date version - this will always be the version on the intranet.

### Related Policies and Procedures
- Grievance Policy
- Mutual Respect Policy
- Safeguarding Children Policy and Procedures
- Incident Reporting and Management Policy and Procedures
- Anti-Fraud and Bribery Policy

### Stakeholders
- People Committee
- Recognised Trade Unions
- Joint Staff Consultation Committee
- All members of staff (including interim and agency/locum)
- Volunteers
- Students on placement at the Trust

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<th>Date</th>
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<th>Author’s Job Title</th>
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<tr>
<td>V.1</td>
<td>April 2020</td>
<td>Sarah Swanepoel Young</td>
<td>HR Business Partner</td>
<td>To combine the previous ‘Whistleblowing’ and ‘Freedom to Speak Up’ Policies</td>
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### Summary of the guidance
To advise on the Trust’s provisions for the raising of serious concerns relating to risks, professional misconduct or financial malpractice that might affect patients, colleagues, or the Trust itself.

### Key words to assist the search engine
Concern, whistleblowing, helpline, corruption, fraud, bribery, speak-up.
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## APPENDICES

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- APPENDIX B – Sources of Advise
- APPENDIX C - A Vision for Raising Concerns and “Speaking Up”
- APPENDIX D - Model letter for staff who raise Level 2 or Level 3 concerns internally
- APPENDIX E - Record of Speaking Up Concerns (Concerns Arising from the Workplace)
‘SPEAKING UP POLICY’

1 INTRODUCTION AND SCOPE

The Queen Elizabeth Hospital, King’s Lynn NHS Foundation Trust (‘The Trust) believes speaking up about any concern you have at work is really important. In fact, it’s vital because it will help us to keep improving our services for all patients and the working environment for our staff.

The aim of this policy is to identify how you can raise concerns about anything you believe is harming patients, staff or the service the Trust delivers or is involved in delivering. The Trust believes that every member of staff has a duty to raise concerns about the provision of care within the Trust where it is believed to be inadequate, unacceptable, or unsafe. This policy takes into account the Public Disclosure Act 1998, which protects staff from suffering ill-treatment or losing their job because they have made a disclosure.

“Speaking Up” is the common term applied to a situation where an employee raises concerns about safety, malpractice or wrongdoing at work and the Trust is committed to encouraging a culture of openness and dialogue endorsed by positive working relationships. The Trust is keen to promote an environment, which enables everyone working for the Trust to feel able to raise concerns in a responsible way without fear of victimisation or censorship.

This policy applies to all Trust staff members, contractors, suppliers, other third parties and external bodies, trainees and agency staff regardless of whether the subject(s) of the allegation are internal or external to the organisation. Although volunteers are not covered by PIDS, the protection extended by this policy will also apply to volunteers.

In the context of the NHS, the term refers to NHS staff raising concerns about issues which may affect patients, the public, other staff or the organisation. The NHS Constitution was updated in March 2012 to include and expectation that NHS staff will raise concerns as early as possible and a pledge that NHS employers will support all staff in raising concerns, responding to and where necessary investigating the concerns raised.

2 PURPOSE

The purpose of the ‘Speaking Up’ Policy and procedure is set out for all those who work for the Trust, guidance on how to raise concerns within the Trust, and how to seek advice externally if ultimately they feel compelled to do so.
The Trust views the contribution made to its services by all those who work for it as an essential element of caring for patients and therefore values issues raised by staff, particularly relating to situations where there is the possibility of harm, danger or a breach of safety to patients in a clinical research capacity.

Managers at the Trust will always take concerns seriously and give them due and sympathetic consideration. There may be occasions when they will wish to seek specialist advice from other health care professionals.

The Trust’s view is that individual staff in the NHS have a right and a duty to raise any matters of concern they may have about health service issues related to the delivery of care, research or service to a patient/s within the Trust, or any other matter that can be said to be in the public interest.

In this Policy/Procedure the term “staff” is used to refer to all those who work for the Trust (including volunteers, interim (agency/locums) staff and students on placement.

3 PROCESS REQUIREMENTS

What concerns can be raised under this policy?

Under this policy if any member of staff has a concern about risk, malpractice, or wrongdoing which they believe is harming a service the Trust commissions or delivers they are able to raise a concern. This will be treated confidentially.

A concern might include but are by no means restricted to:

- Unsafe patient care
- Unsafe patient practice
- Unsafe working conditions
- Malpractice and Professional Misconduct
- Inadequate induction or training of staff
- Lack of, or poor response to a reported patient safety incident
- Suspicions of fraud (which can also be reported to our local counter fraud team – see intranet for contact details)
- A bullying culture across a team, Service, or the Trust rather than in individual instances.

If in any doubt, a Freedom to Speak Up Guardian will give guidance and signpost accordingly

Remember that if you are a healthcare professional you may have a professional duty of care to report a concern. **If in doubt, please raise it.**
**Who is the ‘Freedom to Speak up Guardian’**

The Freedom to Speak up Guardian (see intranet for current contact details) is an important role identified in the Freedom to Speak Up review to act as an independent and impartial source of advice to staff at any stage of raising a concern, with access to any one in the organisation, including the Chief Executive, or if necessary, outside the organisation. Freedom to Speak Up Champions are also available and accessible to support staff who may have a concern (see intranet for current contact details).

**What concerns are not covered under this policy?**

This policy does not apply to the following circumstances:

- Individual instances of bullying or harassment – please refer to the Mutual Respect policy
- Individual concerns about an employee’s or groups of employee’s employment – please refer to the Grievance policy

Complaints from service users, relatives or representatives would not be classed as whistleblowing. These would need to be raised using the service’s complaints procedure.

**4 HOW TO RAISE A CONCERN**

If staff are unsure about raising a concern at any stage, they can get independent advice from their trade union representative, from the Whistleblowing Helpline or from the Freedom to Speak up Guardian.

Staff should remember that they do not need to have firm evidence before raising a concern. However, the Trust asks that staff explain as fully as they can the information or circumstances that give rise to the concern.

Staff have a right and a duty to raise any issue which they consider to be damaging to the interests of patients, and to suggest any improvement. At the same time, staff may also have a responsibility to raise the concern with their professional body. Nothing in this policy should be seen as replacing the duty of a registered professional to raise matters of professional practice with a professional registering body where this is appropriate.

Staff will be supported by senior officers, so that they can express their views within
the Trust, provided that:

- They have a reasonable belief that the disclosure is in the public interest
- The member of staff reasonably believes that the information given and any allegations contained are substantially true.
- Allegations are not made for the purposes of personal gain
- Staff use the proper channels which are outlined in this policy
You should seek to highlight your concern with your line manager where possible. Advice and support is available throughout the process. You can contact your trade union, HR, professional regulator, professional body or, alternatively, independent advice can be sought through the Trust’s Freedom To Speak Up Guardian or National Whistleblowing Helpline on 0800 072 4725 or Public Concern At Work on 0207 404 6605.

**Seek Advice**

- You have a concern that you would like to raise
  - Access Raising Concerns at Work - The Whistleblowing Policy and Procedure
    - Know how to proceed?
      - YES
      - Still do not know how to proceed?
        - NO
        - Seek advice
    - Can you raise your concerns with a manager?
      - NO
        - Discuss your concern informally with your line manager
        - Resolved?
      - YES
        - Not resolved?
          - Can you raise your concern formally with a designated senior manager?
            - YES
              - Raise your concern formally with the designated senior manager
              - Timescales and confidentiality agreed between the designated senior manager and the concern raiser
              - Investigation manager appointed and fact finding / investigation process takes place in line with internal policy
              - Action taken as appropriate - investigation manager feeds back to designated senior manager
              - Designated manager feeds back to concern raiser
              - Resolved?
              - Not resolved?
            - NO
          - Can you raise your concern with the Chief Executive?
            - YES
              - Resolved?
            - NO
      - Not resolved?

**Raise Concern Formally**

- Can you raise your concern formally with a designated senior manager?
  - YES
    - Raise your concern formally with the designated senior manager
    - Timescales and confidentiality agreed between the designated senior manager and the concern raiser
    - Investigation manager appointed and fact finding / investigation process takes place in line with internal policy
    - Action taken as appropriate - investigation manager feeds back to designated senior manager
    - Designated manager feeds back to concern raiser
    - Resolved?
    - Not resolved?
  - NO

**Escalate Internally**

- Can you raise your concern with the Chief Executive?
  - YES
    - Resolved?
  - NO

You are encouraged to seek additional advice and support before deciding whether to raise a concern externally.

**Escalate Externally**

You are encouraged to seek additional advice and support before deciding whether to raise a concern externally.

Whistleblowing can be defined as raising a concern about a risk, malpractice or wrongdoing within an organisation. Examples might include (but are not restricted to):

- unsafe patient care
- unsafe working conditions
- inadequate induction or training for staff
- lack of, or poor, response to a reported patient safety incident
- suspicions of fraud (which can also be reported to our local counter-fraud team)
- a bullying culture (across a team or organisation rather than individual instances of bullying).
5 CONTEXT

A Speaking Up concern could be something which adversely affects patients, the public, other staff or the organisation itself. This is distinct from a grievance which is, by contrast, a dispute about an employee’s own employment position and has no additional public interest dimension. A Speaking Up concern is where an individual raises a concern, either anonymously or in person, or where employee, including an ex employee, wishes to raise a complainant.

This Speaking Up Policy has been developed in line with:

**Public Interest Disclosure Act 1998** – gives legal protection to employees against being dismissed or penalised by their employers for publicly disclosing serious concerns falling in certain specified categories. It also gives the protection to employees against suffering a detriment, bullying or harassment from another employee for publicly disclosing serious concerns falling within certain specified categories.

**The Committee on Standards in Public Life Guidance** – which recommends that a whistleblowing policy should make the following points clear:

- The organisation takes malpractice seriously, giving examples of the types of concerns to be raised, so distinguishing a whistleblowing concern from a grievance,
- Staff have the option to raise concerns outside of line management
- Staff are enabled to access confidential advice from an independent body
- The organisation will, when requested, respect the confidentiality of a member of staff raising a concern
- When and how concerns may properly be raised outside the organisation (e.g. with a regulator), and
- It is a disciplinary matter both to victimise a bona fide whistleblower and for someone to maliciously make a false allegation.

**Speak up for a Healthy NHS** – the 2010 publication from Public Concern at Work

**Speak out Safely** – the Nursing Times’ Campaign. The Trust’s Board has made a commitment to the principles articulated through this campaign and encourages any staff member who has a genuine patient safety concern to raise it within the organisation at the earliest opportunity. The Trust’s ‘Speak out Safely’ pledge is set out in the intranet.

**Working Together to Safeguard Children**: A guide of inter-agency working to safeguard and promote the welfare of children.
The NHS Constitution – which sets out both rights and responsibilities for patients and staff:

“You should aim to raise any genuine concern you have about a risk, malpractice, or wrongdoing at work (such as risk to patient safety, fraud or breaches of patient confidentiality), which may affect patients, the public, other staff or the organisation itself at the earliest reasonable opportunity.”

The Trust’s Values –

6 RESPONSIBILITIES

Director responsible for Human Resources & Organisational Development
The Director responsible for Human Resources and Organisational Development (HR & OD) is chiefly responsible for having concerns raised under this policy reviewed effectively and the effective working of the Speaking Up Helpline.

Speaking Up Helpline (01553 613949 – or ext 3949, internally)
The Speaking Up Helpline has been established as an additional source of support and information for staff wishing to raise concerns. The Whistleblowing Helpline is managed by a designated Speaking Up Guardian and deputy and a secure and confidential voicemail service is checked for messages regularly during office hours.

Staff may speak to the designated Speaking Up Guardian or may be invited to leave a message on a confidential voicemail service. No one other than the designated Speaking Up Guardian will access your voicemail. Staff may ask for a call back, if they would prefer to explain their concern in person

Line Managers
Managers must ensure that all staff are easily able to contribute suggestions and raise concerns about care and delivery of services, and that any concerns raised are dealt with thoroughly and fairly.
In the first instance (Informal Stage Level: 1), staff wishing to discuss concerns should feel able to approach their immediate line manager, or the most immediate manager available to them. The manager is then responsible for taking action to address the issue, and contacting the member of staff raising the initial concern with the outcome of the intervention. If they are unable to resolve the issue directly, they can contact the whistleblowing helpline for assistance.

Managers must also contribute to the Trust ensuring that staff who raise concerns are not subject to reprisals.

**Local Counter Fraud Specialist / NHS Protect**

In circumstances where fraud, bribery and/or corruption are suspected, staff ‘blowing the whistle’ may consider discussing their concerns with the Trust’s Local Counter Fraud Specialist (LSFS) via the Trust’s switchboard. The LCFS can investigate instances of fraud, bribery or corruption without needing to implement the formal procedures set out in this policy / procedure.

Staff can also report fraud, bribery or corruption via NHS Protect on 0800 028 4060 or the NHS Protect online reporting system at [www.reportnhsfraud.nhs.uk](http://www.reportnhsfraud.nhs.uk)

**Trade Union Representatives**

The Trust recognises the right of accredited trade union representatives to raise issues both within, and outside, the Trust on behalf of their trade union in the legitimate interests of their members. This may involve local representatives contacting the media or other external bodies to express a view on behalf of the trade union. Nothing in this policy should be seen as affecting this right. In the spirit of good employee relations, the Trust expects trade union representatives to act in good faith on information they reasonably believe to be true, and to seek to have any issues addressed within the Trust in the first instance.

**Divisional Directors, Clinical Directors, Associate Chief Nurses and Deputy Directors**

See Formal Stage Level: 2.

**Chief Executive**

See Formal Stage Level: 2 and / Formal Stage Level: 3

**The Chair of the Board of the Trust**

If at any stage the individual considers that their concern is not being addressed fully they may forward their concerns in writing directly to the Chief Executive or to the Trust Chair.
**Investigating Officer**
It is the responsibility of the Investigating Officer, where appointed, to carry out any investigation in accordance with this policy.

The Investigating Officer will also be responsible for keeping the Line Manager or ‘contacted officer’ and Human Resources lead informed as to the progress of the investigation and of any delays.

**7 LOCAL PROCEDURE FOR DEALING WITH STAFF CONCERNS**
There are a number of different stages that an individual can follow when raising a concern in order for this to be investigated and any appropriate action taken.

**Informal Stage Level: 1**
It must always been the aim for staff members’ verbal concerns to be resolved through contact between the individual and his or her line manager. Staff may wish to approach their trade union or professional organisation who can raise specific concerns on behalf of their members. Where a concern can be acted upon, action must be taken promptly and the individual notified quickly of the action taken.

If a manager decides that no action is warranted, they must discuss this with their respective manager/director prior to the decision being notified to the individual who has raised the concern. Where action is not considered appropriate, then the individual must be given a prompt and thorough explanation of the reasons for this. They must also be advised that they can raise this issue under the formal procedure, detailed below.

Individuals who raise a concern should receive feedback in writing as quickly as possible, taking into account the seriousness of the concern but in any event, within ten working days. If an associated investigation is complex and requires additional time for completion, the individual who has raised the concern will be notified with an expected date for completion.

Staff must, of course, if they witness or suspect there is immediate risk, report their concerns to the appropriate person or authority without delay (refer to the Incident Reporting and Management Policy and Procedure). The might include reporting via the switchboard to ‘bronze’ and ‘silver’ command, out of hours.

**Formal Stage Level: 2**
This stage should be invoked if an individual is dissatisfied with the outcome after following the Informal Stage Level: 1 of the procedure or for whatever reason, feels unable to report matters to their line manager. (e.g. if their line manager is at the centre of the concern).
In these circumstances, staff must report concerns in writing, see Appendix D, to either their Divisional Director, Clinical Director, Associate Chief Nurse or Deputy Director who will be required to complete Appendix E.

The concerns will be acknowledged by letter, normally with 5 working days, investigated and a written response to the reporting staff member’s home address given normally within 15 days.

The issue must however be dealt with immediately if it has urgent patient care or other such serious implications. It may be that such concerns are reported verbally. This might include reporting via the switchboard to ‘bronze’ or ‘silver’ command, out of hours.

If an associated investigation is complex and requires additional time for completions, the individual who has raised the concern will be notified, with an expected date for completion.

If the Divisional Director, Clinical Director, Associate Chief Nurse or Deputy Director decides action isn’t appropriate, a written explanation will be provided to the individual within the given timeframe.

**Formal Stage Level: 3**
If a concern cannot be resolved at Stage 1 or 2, then the individual is entitled to raise their concern directly with an Executive Director and/or the Chief Executive. This should ideally take the form of a written concern, see Appendix D, which will normally be acknowledged by letter within 5 working days and a written response to the reporting staff member’s home address provided within 20 days.

**Confidentiality**
It is recommended that concerns are raised openly; i.e. that individuals raising concerns give their name. This makes it easier for the concern to be investigated and is the best way for the individual to be protected under the Act. It is recognised that there may be circumstances when the individual raising a concern would like to keep his/her identity confidential. In such instances, the individual must say so at the outset. The individual must realise however that there may be practical or legal limits to this confidentiality where the concern cannot be resolved without identity being revealed. Others may also guess who has raised the concern.

Whilst the Trust is committed to encouraging openness, staff are expected to respect this commitment by observing the appropriate procedures for raising concerns.
In particular, all staff have a duty of confidentiality to patients and any unauthorised disclosure of personal information identifiable to a specific patient could be regarded as a breach of duty and as such might result in disciplinary action being taken. This applies even where an individual believes that he or she is acting in the best interests of a patient or client, by disclosing personal information. It is strongly advised that individuals seek advice from their professional organisation before taking any such action.

Consideration must be given to the stage at which the subject of any disclosure(s) made against them in informed of the investigation. An appropriate risk assessment must be conducted by the Trust to ascertain if it is appropriate and/or necessary to advise them of the allegation and if so at what stage.

**When a concern is raised**

It is important that staff feel that they are able to raise concerns either with their line manager, relevant director or direct with the Chief Executive or his/her designated deputy and to feel confident that their position will not be jeopardised and that harassment or bullying will not take place as a result of their actions. Disciplinary action **will not be taken** against the reporting staff member as a direct result of raising a concern. The Trust regards the ability to raise issues of concern as very important, and is therefore anxious that staff feel able to do so.

Where an individual formally invokes the policy and raises a concern with their manager or at a higher level, the manager who is dealing with the issue should establish:

- If the individual is anxious about reprisals
- When the concern first arose and, where relevant, what is prompting the decision to speak up now
- Whether the information is first hand or hearsay
- Where the approach is to a designated officer, whether the individual has raised the concern with their line manager and (a) if not, why not and (b) if so, with what effect
- Whether confidentiality is sought
- If there is anything else relevant the individual wants to mention

These issues are indicative of the approach that may be taken and should not been seen as a definitive list.

Once individuals have reported a concern at any stage of the process, it will be assessed (including the potential level of risk to the patient, employee of the Trust itself) and appropriate action considered. This may involve an informal review, an internal inquiry or a more formal investigation. An investigating Officer may be appointed. The reporting staff member will be notified concerning how long any investigation is expected to take. This timeframe may be amended if the issue if found to be very complex. Reporting staff will be told who is handling the matter.
The Trust will not tolerate any detriment, reprisals, bullying, harassment or victimisation against any individual because he or she has raised a concern under this policy and we will treat any such instance as a disciplinary matter which may lead to dismissal of the perpetrators or sanctions against those acting as agents of the Trust.

Employees making deliberate false or malicious allegations will be subject to disciplinary action in accordance with the Trust’s Disciplinary Procedure.

**Monitoring and Recording**
A central log of all formal concerns and whistleblowing cases raised, together with investigation process updates and outcomes will be maintained by the Human Resources Business Partners. This will allow for the effective acknowledgment, monitoring and progress of reported disclosures.

This log will be available on the Trust’s Audit Committee and will be reported to the Trust Board on a monthly basis.

### 8 REPORTING CONCERNS OUTSIDE THE TRUST

**Public Concern at Work**
While it is hoped that is policy gives staff the reassurance they need to raise concerns internally, the Trust recognises that a member of staff who has exhausted the informal and formal procedure, but still remains concerned, may wish to raise it externally.

Staff can contact Public Concern at Work (tel. 020 7404 6609) or via the NHS/Social Care Whistle-blower hot line (tel: 08000 724 725) or by email via [helpline@pcaw.co.uk](mailto:helpline@pcaw.co.uk)

**Referral to a Regulatory Body**
Individuals who have raised their concern internally but who feel it has not been addressed properly, or feel unable to raise their concerns at any level in the organisation may consider the need to raise their concern outside the Trust.

In order for the concern to be investigation and for individual protection under current legislation, the concern must be raised with a recognised healthcare organisation that has the authority to investigate the issue. This could be the regulator or health and social care services (for example the Care Quality Commission) or a regulator of health professionals (for example), the General Medical Council or Nursing and Midwifery Council).

Before reporting concerns to a regulatory organisation, it is recommended that advice is sought. The Trust Chief Executive / Chair should also be informed of intended actions.
**Fraud, Corruption & Bribery**
All allegations of suspected fraud, bribery and corruption must be reported to either the Director of Finance, the Trust’s nominated Local Counter Fraud Specialist (LCFS), or by calling the NHS Fraud and Corruption Reporting Line. All reports will be assessed and, where necessary, investigated in accordance with the Trust’s Anti-Fraud and Bribery Policy.

In addition, where allegations involve an Executive Director and Non-Executive Director (NED) the information can also be reported to the Audit Committee Chair.

The contact details for reporting fraud, corruption and bribery are as follows:

- **Director of Finance** on: 01553 613732
- **Local Counter Fraud Specialist (LCFS)** on: 07528 970222
- **NHS Fraud and Corruption Reporting Line** on: 08000 724 725

**Reference to Members of Parliament and the Media**
A staff member, who has exhausted the informal and formal procedures above, may wish to consult their Member of Parliament in confidence. He or she may also contemplate the possibility of disclosing their concern to the media. It would be helpful if he or she were to inform, ideally before disclosure, either the Communications Manager or the Chief Executive so that the Trust is able to deal with subsequent press enquiries.

Disciplinary action will not be taken as a direct result of raising a concern, provided the concern is raised in accordance with the Public Interest Disclosure Act 1998 and the person raising the concern reasonably believes that to raise the concern is in the public interest.

It is however, the underlying aim of this procedure that staff will find it unnecessary to resort to such actions, as concerns will be addressed effectively, within the Trust.

**The Public Interest Disclosure Act 1998**
In addition to the local procedures, the Public Interest Disclosures Act 1998 provides specific rights for those who disclose information to a third party about an alleged wrongdoing. The wrongdoing must fall into one of a specific number of categories and be raised following a laid down procedure.

If an individual has a concern, and wishes to consider seeking protection under the Public Interest Disclosure Act when raising it, they should seek advice from their trade union, an independent advisor or Citizens Advice, (national phone service, Adviceline: 03444 111 444) to ensure that they are protected.

**Independent Advice and Support**
If individuals are unsure whether to use this procedure or want confidential independent advice at any stage, they should contact their trade union or professional association: or The Independent Charity Public Concern at Work on the Protect Advice Line: 020 31172520 (*Option 1) or Protect Advice line: whistle@protect-advice.org.uk. Their legal advisors will give free confidential advice at any stage about how to raise a serious complaint at work.

9 FURTHER INFORMATION

Further information regarding this policy can be obtained within the Trust from the Human Resources Team. (See Appendix C: A Vision for Raising Concerns and “Speaking Up”).

10 EQUALITY STATEMENT

A Stage 1 (Screening) – Equality Impact Assessment has been undertaken, and no negative impact on any group was indicated (see Appendix A).

11 DISSEMINATION OF DOCUMENT

Following approval by the Joint Staff Consultative Committee (JSCC), this policy will be submitted to the People Committee for ratification. This policy will be uploaded onto the Trust’s intranet site under Human Resources. Policy notification will be through an email to all staff members within the Trust.

12 MONITORING COMPLIANCE

The Trust will monitor the application of and compliance with the Speaking Up Policy through its monthly review of reported concerns and their handling.
APPENDIX A - EQUALITY IMPACT ASSESSMENT

Equality Impact Assessment Tool
(To be completed and attached to any policy document when submitted to the appropriate committee for ratification.)

STAGE 1 - SCREENING

<table>
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<tr>
<th>Name &amp; Job Title of Assessor:</th>
<th>Date of Initial Screening: September 2019</th>
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<tbody>
<tr>
<td>Policy or Function to be assessed: ‘Raising Concerns at Work Policy’</td>
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<th></th>
<th>Yes/No</th>
<th>Comments</th>
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<td>1. Does the policy, function, service or project affect one group more or less favourably than another on the basis of:</td>
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<td>• Race &amp; Ethnic background</td>
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<td>• Gender including transgender</td>
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<td>• Disability:- This will include consideration in terms of impact to persons with learning disabilities, autism or on individuals who may have a cognitive impairment or lack capacity to make decisions about their care</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>• Religion or belief</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>• Sexual orientation</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>• Age</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>2. Does the public have a perception/concern regarding the potential for discrimination?</td>
<td>No</td>
<td>There is no known reason for the public to have any concerns with this policy</td>
</tr>
</tbody>
</table>
If the answer to any of the questions above is yes, please complete a full Stage 2 Equality Impact Assessment.

Signature of Assessor: Date:
Signature of Line Manager: Date
APPENDIX B – SOURCES OF ADVICE

This list is not exhaustive, but staff may wish to contact one of the following if considering raising a concern about the standard of care or any aspect of Trust activities. This is very strongly advised if a member of staff is contemplating contacting the media.

- **Public Concern at Work. Tel 0207 404 6609.**
  
  This is a whistleblowing charity with a legal advice centre designated as such by the Bar Council. Through its helpline, its lawyers can provide confidential advice, free of charge, to people concerned about wrongdoing at work, but who are not sure whether, or how, to raise the concern. Information that is disclosed to it in the course of seeking advice is protected under the Public Interest Disclosure Act. It can advise on other regulatory bodies such as the Health and Safety Executive etc.

- **A recognised trade union e.g. UNISON, UNITE, RCN, BMA etc.**

- **Professional bodies e.g. GMC, NMC, GPhC etc.**

  The NMC has issued guidance in the form of a booklet entitled ‘Raising and Escalating Concerns’. This covers the role of the nurse or midwife in raising concerns, how to raise a concern, and the legislation in place to protect the concerned party. Copies of the guidance and further information such as a flow chart of the stages in the process can be obtained via the NMC website.

- **NHS/Social Care Whistleblowing Hotline. Tel 08000 724 725.**

  This is a service for all staff and employers in the NHS and social care sector that offers legally compliant, unbiased support and guidance to ensure you can act in accordance with your values.

- **The NHS Protect Fraud Reporting Line. Tel 0800 028 4060**

- **The Trust’s Local Counter Fraud Specialist on 07528 970222**

- **The Freedom to Speak up Guardian – 07966 881840**

- **The Freedom to Speak Up Champions (see intranet for current contact details)**
APPENDIX C: A VISION FOR RAISING CONCERNS AND ‘SPEAKING UP’
APPENDIX D: Model letter for staff who raise Level 2 or Level 3 concerns internally

STRICTLY CONFIDENTIAL - RAISING CONCERNS DISCLOSURE FORM
This form is to be completed by individuals who want to raise a formal concern under the Trust’s Speaking Up Policy. Please send when complete to a Divisional Director, Clinical Director, Associate Chief Nurses, Deputy Directors or Executive Director in an envelope marked Private and Confidential.

SECTION 1 – Details of the person raising the concern
If you wish to remain anonymous, please go straight to SECTION 2 – Details of the disclosure. However please note that whilst such concerns will be given due consideration, as set out in the Trust’s Whistleblowing policy more action is likely and possible if your identity is known when you report something. It will be much more difficult for the Trust to look into the matter or to protect your position or to give you feedback if you remain anonymous.

Name ……………………………..

Home Address ……………………………. Work Address ……………………………
……………………………………………… ……………………………………………
……………………………………………… ……………………………………………
……………………………………………… ……….……………………………………..

Home contact number…………………………..........................................................

Work contact number ………………………………………………………………………….

To which address do you wish any correspondence to be sent?
Home address / Work address (please delete as appropriate)

Date disclosure form submitted ……………………………………………………………

SECTION 2 – Details of the disclosure
What is your concern about? (please tick)
☐ Patient/service user care ☐ Patient/service user safety
☐ Criminal offence/legal obligation ☐ Professional/clinical practice or competence
☐ Conduct (including malpractice, unethical conduct

Other (please state) …………………………………………………………………………..

Who is involved? Please list witnesses and anyone carrying out the act causing your concern, and the date(s), time and place(s) the act occurred:

…………………………………………………………………………………………………
…………………………………………………………………………………………………
…………………………………………………………………………………………………
Please describe what happened/what you think will happen. Please provide as much detail as you can. (Use additional sheets of paper if required)
…………………………………………………………………………………………………
…………………………………………………………………………………………………
…………………………………………………………………………………………………
…………………………………………………………………………………………………

SECTION 3 – Personal involvement/personal interest
Please declare any personal interest you may have in this matter (i.e. does the outcome of this matter have the potential to affect you personally in any way?)
…………………………………………………………………………………………………
…………………………………………………………………………………………………

Have you personally been involved in this matter previously?

Yes □      No □

If yes, please outline your involvement:
…………………………………………………………………………………………………

SECTION 4 – Expressed preferences
Do you wish your identity to be kept confidential (bearing in mind that, depending on the nature of the investigation or disclosure, it may become necessary to disclose your identity)?

Yes □      No □

NB. A copy of this completed form must be forwarded to both of the following:
The Executive Lead for Speaking Up (Deputy CEO)
The Freedom to Speak Up Guardian
APPENDIX E - Record of Speaking Up Concerns
(Concerns Arising from the Workplace)

To be completed by ‘contacted officer’ i.e. Divisional Directors, Clinical Directors, Associate Chief Nurses and Deputy Directors (Stage 2) / Executive Directors (Stage 3)

Please use this form for all concerns raised. Completed forms with any attachments should be sent as quickly as possible to an Executive Director / Chief Executive / Trust Chair and a copy retained in the ward/department.

Section 1 - Time, Date and Method of Communicating Concern

<table>
<thead>
<tr>
<th>Time</th>
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</thead>
<tbody>
<tr>
<td>Date</td>
</tr>
<tr>
<td>Method</td>
</tr>
</tbody>
</table>

Section 2 - Details of Informant

| Name and Address: |
| Work: |
| Home: |
| Informants views on confidentiality: |
| Directorate/Department: |

| Nature of concern: Fraud/Clinical Issues/Environmental/Bribery/Other (specify) |

| Brief details of concern: |

| Action informant would like to see taken: |
| Outline of action promised: |
Outline of Action taken: (please date and time events and continue on an additional sheet if necessary)

Feedback to informant:

Summary:

NB. A copy of this completed form must be forwarded to both of the following:
The Executive Lead for Speaking Up (Deputy CEO)
The Freedom to Speak Up Guardian