

Freedom to Speak Up (Raising Concerns) Policy

Department / Service:	Human Resources
Originator:	Freedom to Speak Up Guardian
Accountable Director:	Director of People and Culture
Approved by:	JNCC
Date of first approval:	This policy replaces the previous Raising Concerns Whistleblowing Policy (July 2015)
Latest Revision:	April 2018
Review Date:	6 th November 2020
This is the most current document and should be used until a revised version is in place	
Target Organisation(s)	All Trust staff, contractors and volunteers
Target Departments	All
Target staff categories	All

Purpose of this Policy:

Worcestershire Acute Hospitals NHS Trust is committed to achieving the highest possible standards/duty of care and the highest possible ethical standards in public life and in all of its practices. To achieve these ends, it encourages freedom of speech.

The Trust is committed to creating an environment and climate of openness where staff, workers and volunteers feel empowered to raise concerns. This policy is intended to deal with any concerns about serious risks, improper practices at work or any form of unacceptable behavior. Please note that other policies are available to deal with concerns that relate to employment issues.

Staff should feel able to raise concerns in a climate of openness so that issues can be addressed at an early stage, in the right way, without fear of penalty or reprisal.

This policy guides individuals on how they should bring such concerns to the attention of the Trust and sets out the Trust's approach when concerns are raised to ensure the matter can be appropriately dealt with.

Key amendments to this Document:

Date	Amendment	By:
March 2018	Policy reviewed and re-written in line with NHS Employers Model Policy for Freedom to Speak Up	Deb Drew/Bryan McGinity/Natalie Wurmlli
May 2020	Document extended for 6 months as review date passed during COVID period	

CONTENTS	Page
1. Introduction	3
2. Policy scope	4
3. Aim of policy	4
4. Duties - roles and responsibilities	4
5. Definition of terms	6
6. Procedure for raising concerns at work	6
6.1 How to Raise a Concern – 3 steps	6
6.2 Process for Handling Concerns Raised	7
6.3 Addressing the Concern	8
6.4 Following the Information-gathering exercise	8
6.5 Concerns relating to the Chief Executive	9
6.6 Concerns relating to the Chairman or Non-Executives	10
6.7 Accessing External Contacts	10
6.8 Measures for supporting and protecting individuals	10
6.9 Seeking independent or external advice	11
6.10 If individuals are dissatisfied	12
6.11 National Guardian	12
7. Training	12
8. Diversity and Inclusion	12
9. Process for monitoring compliance with the policy	13
10. Consultation and review	13
11. Policy implementation	13
12. References	13
Appendix 1 Process for raising and escalating a concerns	15
Appendix 2 A vision for raising concerns in the NHS	16
Appendix 3 Form for raising Concerns	17
Appendix 4 Details of Policies and Procedures Available for Dealing with Work Related Issues or Concerns	20
Appendix 5 Equality Impact Assessment	21
Appendix 6 Financial Risk Assessment	22

1. Introduction

Worcestershire Acute NHS Trust (WAHT) is committed to the provision of high quality health care in all aspects of its services to patients, visitors, local community and employees. The Trust recognises that there may be occasions where individuals have concerns about what is happening at work. Although concerns may often be easily resolved at a local level, it can be difficult for people to know what to do if the concerns are about any of the following:

- Malpractice or ill treatment of a patient
- Abuse of patient's rights
- Criminal activity
- Danger to health, safety, or the environment
- Financial malpractice (fraud, corruption, bribery)
- Wrongful disclosure of confidential information regarding patients or employees
- Unfair recruitment or promotion practices
- A bullying culture (across a team or organisation rather than individual instances of bullying)

All NHS staff have a duty to raise concerns about serious risks at work that are considered to be in the public interest. This forms part of the NHS terms and conditions of service handbook. In addition, you have a responsibility under the NHS Constitution to be open with; patients, their families, carers or representatives, including situations where something goes wrong. All staff are expected to contribute to a climate where the truth can be heard and the reporting of, and learning from errors is encouraged and engaged. This is in line with the Trust's signature behaviour, We Listen, We Learn, We Lead.

This duty is also supported by the Trust Vision, which promotes a culture of equality, respect, trust, dignity and openness. In addition, the NHS has a Vision for raising concerns which is detailed in Appendix 2.

If any individual has a concern about a practice, process, issue, or behaviour they should raise the concern preferably with their line manager or alternatively an FTSU Champion or Guardian. This discussion will help them determine if it is a concern under this policy or one of the related policies and procedures listed in Appendix 4.

In cases where a member of staff feels aggrieved about their personal position, for example about their working hours or access to training, they should use the Trust Grievance/Disputes Resolution Procedure. The Trust does however recognise that there may be times when the matter is extremely sensitive and needs to be handled in a different way, and when it is not appropriate to go via these normal management reporting channels. In such circumstances, the member of staff should refer to Section 6 of this document (procedure for raising concerns). It is important that the matter is raised when it is just a concern rather than waiting for proof to be available.

This policy forms part of the Trust's governance framework and as such, supports the development of an organisational culture where individuals feel able to raise concerns about their work in a free and open manner. Whether the nature of the concern is substantial, or relatively minor, it is recognised that it is likely to be significant to the individual who raises it. As such, the Trust wants all employees to

feel confident that their concerns will be listened to and addressed in an appropriate manner.

Where issues of suspected fraud are raised the Fraud and Corruption Policy must be followed.

2. Policy Scope

This Policy applies to all staff employed by the Trust and workers (including agency workers, temporary workers, students, volunteers and sub-contractors). Anyone who works (or has worked) in the NHS, or for an independent organisation that provides NHS services, can raise concerns.

The Public Interest Disclosure Act 1998 covers all employees and workers including temporary, agency staff, people on training courses and the self-employed who are working for and supervised by the NHS.

3. Aim of policy

This Policy sets out the process by which any unacceptable behaviours observed by any member of staff or related workers can be raised and how the Trust will deal responsibly, openly and professionally with such concerns. The Trust will ensure that any member of staff raising a concern does not suffer any form of retribution, or detriment, provided the concern is raised in good faith. Victimisation of people who raise concerns is a very serious matter that will be investigated, and may lead to disciplinary action. Please be aware that malicious or vexatious claims will be dealt with as a disciplinary matter.

4. Duties – roles and responsibilities

The Trust Board

The Trust has responsibility to support individuals who have genuine concerns and to ensure that these concerns are addressed appropriately and responsibly.

Freedom to Speak Up (FTSU) Guardian

The FTSU Guardian is responsible for ensuring that the Trust promotes an open culture where all staff feel empowered to speak up when they have concerns which may be a matter of public interest. The Guardian will ensure that concerns are managed effectively through this policy in a timely way and that all necessary reporting is carried out. The Guardian will also ensure that the Trust Board is sighted on matters and will link in with the National Guardians Office to support the wider Freedom to Speak Up movement in the NHS.

The Chief Executive

The Chief Executive is ultimately responsible for ensuring effective corporate governance within the organisation and therefore supports the Trust-wide implementation of this policy.

Line Managers

Managers are responsible for dealing with concerns raised with them under this policy. They must ensure that everyone engaged in their service, such as employees, agency workers or contractors are aware of this policy. Managers are

responsible for providing support to individuals who raise concerns, and to take any steps necessary to prevent victimisation.

Staff Responsibilities

Members of staff, contractors and volunteers, have a responsibility to bring genuine concerns about a practice, process or issue in the workplace to the attention of the Trust and are encouraged to use the internal mechanisms and policies available to them.

Professionally Registered Staff

Professionally registered staff have a duty to raise concerns in accordance with their Professional Code of Conduct/Practice.

Staff Side Representatives

Staff Side Representatives are responsible for providing advice, support and guidance to members of their union who wish to raise a concern.

Freedom to Speak Up Champions

FTSU Champions are responsible for providing support to those who have concerns and signposting them to the appropriate department e.g. staff side representative, line manager, Human Resources, Occupational Health etc. Champions will also ensure that the FTSU Guardian is made aware of issues raised to enable appropriate reporting or escalation as necessary. Champions receive relevant training to fulfill this role.

Human Resources Advisors

HR Advisors are responsible for providing advice and guidance to managers and staff on the application of policies and procedures in line with relevant legislation. Where appropriate, the HR Advisors will provide support to managers and employees in order to resolve concerns raised under this policy. The Freedom to Speak Up policy will be brought to the attention of new staff on Induction, and to existing staff on Mandatory Training. Intranet Pages and a dedicated email address will be established to facilitate easy access to support for staff.

Counter Fraud Specialists

Counter Fraud Specialists are responsible for conducting investigations into suspicions of fraud in a manner that abides by appropriate legislation and protects confidentiality of sources (where appropriate). Contact details for our counter fraud specialist are available in the Counter fraud Policy which is on the Intranet.

5. Definition of terms

‘Raising a Concern’ is defined by the British Standards Institution (BSI) Whistleblowing Arrangements Code of Practice as “speaking up about a possible fraud, crime, danger or other serious risk that could threaten customers, colleagues, shareholders, the public, or the organisation’s own reputation”.

6. Procedure for raising concerns at work

Appendix 1 is a Flow Chart designed to help you understand the process for raising a concern. The steps are detailed below:

6.1 How to raise a concern – 3 steps

1. Step one

Where you have a concern about a practice, process, issue, or behaviour you should where you feel able, raise the matter with your line manager or next level of manager, so that they can take appropriate action.

Note: You may approach your Trade Union representative or a Freedom to Speak up Champion for advice and guidance about raising a concern. Trade Union members are strongly encouraged to contact their Staff Side Representatives at the earliest opportunity. Staff Side Representatives can raise concerns on behalf of their members whereas Champions should signpost to the appropriate departmental manager or the Freedom to Speak up Guardian.

2. Step two

If you feel unable to raise the matter with your line manager or their manager, please raise the matter with one of the Trust's FTSU Champions, the FTSU Guardian or your Trade Union Representative.

You can use the confidential email address below to raise your concern with the FTSU Guardian or you can contact one of the FTSU Champions. Details of all FTSU Champions can be found in the Freedom to Speak up section on the Intranet.

wah-tr.freedomtospeakup@nhs.net

The Trust Guardian has been given special responsibility and will:

- treat your concern confidentially unless otherwise agreed
- ensure you receive timely support to progress your concern
- escalate to the Board any indications that you are being subjected to detriment for raising your concern
- remind the organisation of the need to give you timely feedback on how your concern is being dealt with
- ensure you have access to personal support (e.g. via Occupational Health, a Trade Union Representative or FTSU Champion) since raising your concern may be stressful.
- If you want to raise the matter in confidence, please say so at the outset so that appropriate arrangements can be made

3. Step three

If you still have concerns after the first two stages, or consider that neither of these routes is appropriate to your particular circumstances, you can at any point, raise the matter directly with the Trust's Chief Executive (see also section 6.5). When doing

so, you must make it clearly understood that your concern has already been raised under the Freedom to Speak Up policy.

6.2 Process for handling concerns

Recording and signposting

Where you raise a concern through any of the above routes, the person receiving your concern will record a brief summary of the issues (using the form in Appendix 3) and pass the details to the FTSU Guardian.

Your concern can be anonymised if you request but please be aware that this may restrict the ability to effectively follow up on and resolve the concerns you have raised.

A central record will record the date the concern was received, whether you have requested anonymity, a summary of the concerns and dates when we have given you updates or feedback.

The Guardian or Manager receiving the concern will then be responsible for ensuring the concern is adequately addressed by an appropriate member of staff within the Trust. They will also be responsible for ensuring appropriate support is made available to you.

If the manager with whom the concern has been raised has any personal interest in the matter, it is important they inform an HR representative at the outset, who will then advise how the matter should best be handled thereafter.

6.3 Addressing the concern

6.3.1 Information gathering

In all cases someone suitably independent and appropriately trained will be appointed to review the concern, conduct an information-gathering exercise and develop a management action plan. In certain circumstances this individual may need to be someone external to the Trust.

The information-gathering exercise will normally be carried out under the terms of strict confidentiality i.e. by not informing the subject of the complaint until (or if) it becomes necessary to do so. This may be particularly appropriate in cases of suspected fraud, or when there would be the possibility of irreparable damage to the working relationship of the people concerned.

In certain exceptional cases it may be necessary to suspend relevant individuals. This must be done in accordance with the Trust Disciplinary Policy. Protection of patients in our care is paramount in all cases and this principle is extended to those individuals raising concerns under this procedure.

The manager appointed to conduct the information gathering exercise will collect factual information, prepare a written report of findings, make recommendations for resolving the issue and submit their findings to the FTSU Guardian or the manager who commissioned the information-gathering exercise.

6.4 Following the information-gathering exercise

6.4.1 Follow up action

Prior to, following or during the information gathering exercise, the person conducting the exercise may decide that the concern would be better addressed under another WAHT Policy or procedure (as listed in Appendix 4) and this will be communicated to you.

Any employment issues (that affect only you and not others) identified during the information gathering exercise will be considered separately under the appropriate policy.

Where the information gathering exercise reveals serious concerns that need to be investigated more fully, one of the following routes will be taken:

1. Wherever possible the person who conducted the information gathering exercise will conduct further investigation meetings to gather more detailed information.
2. In certain circumstances, such as where specialist knowledge is required, or where an external organisation needs to be involved, a different person will be assigned to carry out more detailed fact finding.

Wherever possible the Trust will carry out a single fact finding exercise (so for example, where a concern is raised about a patient safety incident, usually a single round of fact finding meetings will aim to look at the concern and the wider circumstances of the incident).

The fact finding will be objective and evidence-based, and will produce a report that focuses on identifying and rectifying any issues, and learning lessons to prevent problems recurring.

6.4.2 Communication

You will be treated with respect at all times. In order to understand the concerns, the Trust will discuss the issues raised with the individuals involved, provide anticipated timescales for the fact finding exercise and updates on progress. Wherever possible, the Trust will share the outcome with you (while respecting the confidentiality of others).

6.4.3 How will the Trust learn from concerns?

The focus of the fact finding will be on improving the service provided for patients. Where it identifies improvements that can be made, these will be tracked to ensure necessary changes are made, and are working effectively. Lessons will be shared with teams across the organisation, or more widely, as appropriate.

The Manager or Guardian who commissioned the information-gathering exercise will determine (in consultation with HR) whether there is any further action required. Where this is the case, the Manager or Guardian will inform you, either verbally or in writing, as to the outcome of the process (this will not include details of any disciplinary action which must remain confidential).

Where the Manager or Guardian determines that there is no further action required, he/she will inform you and will consider whether any further support should be offered to you. In all cases feedback will be provided to the FTSU Guardian.

6.4.4 Board oversight

The Board will be given high level information about all concerns raised by its staff through this policy and details of what is being done to address any problems. The Board will include similar high level information in the annual report. The Board supports staff raising concerns and wants them to feel free to speak up.

6.5 Concerns relating to the Chief Executive

If the concern raised relates to the Chief Executive of the Trust, the Chairman will decide on how an investigation will proceed. See section 6.10 for information about seeking independent or external advice.

6.6 Concerns relating to the Chairman or Non Executives

If your concern relates to the Chairman or Non-Executives of the Trust, this should be raised with the Freedom to Speak Up Guardian who will raise externally to the Trust with NHSI.

6.7 Accessing external contacts

While the aim of this policy is to give individuals the reassurance they need to raise matters of concern internally, the Trust recognises that there may be circumstances where it is appropriate to properly report matters to outside bodies such as the Secretary of State, the Police or other regulatory bodies (see 6.10).

The Trust would rather matters were raised with the appropriate regulator than not at all, provided the individual is acting in good faith and there is evidence to back up the specific concern.

6.8 Measures for supporting and protecting individuals

Feel safe to raise your concern

Where a genuine concern is raised under this policy, you will not be at risk of losing your job or suffering any form of reprisal as a result. The Trust will not tolerate the harassment or victimisation of anyone raising a concern. Nor will the Trust tolerate any attempt to bully individuals into not raising any such concern.

Confidentiality

The Trust hopes that you will feel comfortable raising concerns openly, but also appreciates that concerns may be raised confidentially. This means that the individual raising the concern will only be identifiable to the Guardian and the fact finding manager. Therefore, the Trust will keep your identity confidential, if that is what is requested, unless there is a requirement to disclose it by law (for example, by the police). Concerns can be raised anonymously, without giving anyone's personal details, but please bear in mind that this may make it more difficult for the Trust to investigate thoroughly and to give feedback on the outcome.

Making a 'protected disclosure'

There are very specific criteria that need to be met for you to be covered by whistleblowing law when you raise a concern (to be able to claim the protection that accompanies it). There is also a defined list of '[prescribed persons](#)' available on the GOV.uk website, similar to the list of outside bodies listed in 6.9, who protected disclosure may be raised with. Prescribed persons, as prescribed under the Public Interest Disclosure Act 1998, are independent bodies or individuals that can be approached by whistleblowers where an approach to their employers would not be appropriate. Please seek independent advice from the [Whistleblowing Helpline](#) for the NHS and social care (Tel: 08000724725 or email: enquiries@wbhelpline.org.uk), [Public Concern at Work](#) (Tel: 02074 046609 or at www.pcaw.co.uk) or a legal representative who will be able to advise individuals if they meet the criteria.

The Trust will take appropriate measures to protect employees raising a concern under this policy.

Where the Trust is not able to resolve the concern without revealing your identity (for instance because evidence is needed in an internal or external forum), the matter will be discussed formally with you to determine whether and how it is possible to proceed. You should be given the opportunity to have your Staff Side Representative, or a colleague to accompany you.

In circumstances where the Trust is required to disclose your identity (e.g. Court proceedings/police matters), every reasonable effort will be made to ensure you are informed prior to the disclosure occurring.

6.9 Seeking independent or external advice

[NHS](#) Improvement for concerns about:

- how NHS trusts and foundation trusts are being run
- other [providers with an](#) NHS provider licence
- NHS procurement, choice and competition
- the national tariff

[Care Quality Commission](#) for quality and safety concerns

[NHS England](#) for concerns about:

- primary medical services (general practice)
- primary dental services
- primary ophthalmic services
- local pharmaceutical services

[Health Education England](#) for concerns about education and training in the NHS

[Whistleblowing Helpline](#) for the NHS and social care (tel 08000 724 725 or email enquiries@wbhelpline.org.uk)

NSPCC Whistleblowing Advice Line, providing support to employees wishing to raised concerns over how child protection issues are being handled (tel 08000 280 285)

Trade Union or Professional Association websites

While it is hoped that you will feel able to raise your concerns internally, the Trust recognises that individuals can also contact an appropriate external body. If you are unsure whether to use this procedure, you may at any stage contact:

- a Trade Union/Professional organisation – the Trust recognises that you may wish to seek advice from and be represented by your trade union/professional organisation representative, when using the provisions of this policy and acknowledges your right to do so; or
- the independent charity Public Concern at Work (tel 020 7404 6609 or email helpline@pcaw.org.uk) whose lawyers can give free confidential advice at any stage about how to raise a concern about serious malpractice at work.
- the National Fraud and Corruption (Integrity) Line (tel 0800 028 40 60) – a confidential reporting line which has been established by the NHS Protect. All calls will be treated in confidence by trained staff and will be professionally investigated.
- NHS staff who have concerns and are unsure how to raise them or would like free, independent and confidential advice are able to call a new helpline provided by the Royal Mencap Society on 08000 724 725.

6.10 If individuals are dissatisfied

Where you are unhappy with the Trust's response, you are advised to approach the other levels and bodies detailed in this policy. While the Trust cannot guarantee that all matters will be responded to in the way that you might wish, the Trust will aim to handle the matter fairly and properly.

6.11 National Guardian

Dr Henrietta Hughes is the National Guardian for speaking up freely and safely within the NHS. She is contactable via the National Guardians Office - 0300 067 9000.

The National Guardian can independently review how staff have been treated having raised concerns where NHS trusts and foundation trusts may have failed to follow good practice, working with some of the bodies listed above to take action where needed.

7. Training

The Trust has a responsibility to ensure that managers are aware of how to handle any issues of concern raised within the terms of this policy and will provide training and advice to support managers in this context.

8. Diversity and Inclusion

The Trust is committed to ensuring that, as far as is reasonably practicable, the way we provide services to the public and the way we treat staff reflects their individual needs and does not unlawfully discriminate against individuals or groups on the grounds of any protected characteristic (as defined in the Equality Act 2010).

This policy aims to uphold the right of all staff to be treated fairly and consistently and adopts a human rights approach. This policy has been appropriately assessed in terms of Equality Impact Assessment (see appendix 5).

9. Processes for Monitoring Compliance with the Policy

This policy will be reviewed every 2 years and amended in light of any guidance issued by Government or other legal sources.

Standard / process / issue	Monitoring and audit			
	Method	By	Committee	Frequency
Review policy 2 years after implementation date	FTSU Sub Committee	2 years after implementation date	Workforce (People and Culture Committee)	Expiry of policy
Compliance with Policy	6 Monthly audit to look at cause, themes and outcomes	Freedom to speak up Guardian	Workforce Committee (People and Culture Committee)	6 monthly

10. Consultation & review

This policy has been reviewed in consultation with the FTSU Group and the JNCC.

11. Policy implementation (Including Awareness Training)

This policy will be published on the intranet in the document library. Training will be provided to managers and to FTSU Champions on the appropriate handling of concerns. The Freedom to Speak Up Guardian will attend national training and networking events organised by the National Guardian's Office.

12. References

This policy has been written to take account of the Enterprise and Regulatory Reform Act 2013 and the Public Interest Disclosure Act 1998, which encourages employees to raise any concerns with their employers and protects individuals making disclosures about matters of concern when they may have reasonable grounds for believing that they are true.

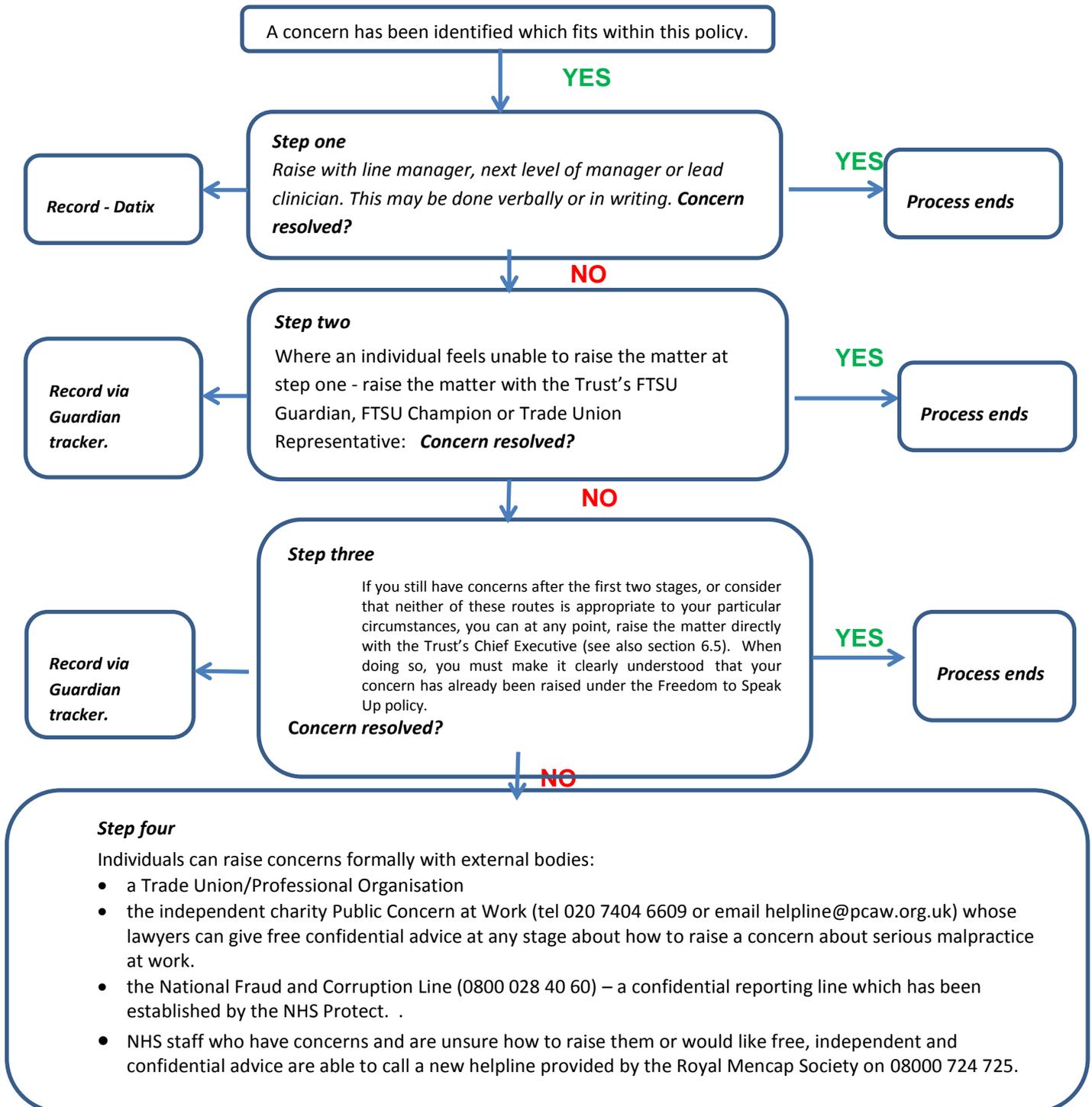
The policy also notes the implementation of:

- the Bribery Act 2010
- National Guidance – Freedom to Speak Up (Draw the Line Campaign).
- British Standards 'Whistleblowing arrangements: Code of Practice', PAS 1998:2008
- Social Partnership Forum & Public Concern at Work guidelines, 'Speak up for a healthy NHS: How to implement and review whistleblowing arrangements in your organisation', 2010-09-27
- The Bribery Act, 2010
- NHS Terms and Conditions Handbook, 2010
- NHS Constitution, 2009

- National Quality Board: Review of early warning systems in the NHS Acute and Community services, 2010

Appendix 1:

Process for raising and escalating a concern



Appendix 2:

A vision for raising concerns in the NHS



Source: Sir Robert Francis QC (2015) *Freedom to Speak Up: an independent report into creating an open and honest reporting culture in the NHS*.

Appendix 3:

Form for Raising Concerns under the Freedom to Speak Up Policy

Freedom to Speak Up Policy		
WAHT-HR-051	Page 15 of 21	Version 1.1

This form is to be completed by the FTSU Champion/Guardian in discussion with the relevant staff member raising the concern. See section 6 of this policy.

Name:	Department:	Staff Group:
Date:		
Does the staff member wish to remain anonymous?	Y / N	
Email Address :		
Extension or Telephone Number:		
Case Number (To be completed by the Guardian's office)		
Type of Concern (please tick): <ul style="list-style-type: none"> <input type="checkbox"/> Attitudes and Behaviours <input type="checkbox"/> Equipment and Maintenance <input type="checkbox"/> Staffing Levels <input type="checkbox"/> Policies, Procedures and Processes <input type="checkbox"/> Quality and Safety <input type="checkbox"/> Patient Experience <input type="checkbox"/> Performance Capability <input type="checkbox"/> Service Changes <input type="checkbox"/> Other 		
Details of the concern to include who it relates to, any dates/times of specific incidents, covering name, department and role of the person/s involved in the allegation if appropriate.		
Where appropriate, what outcome is the employee requesting?		

Action/Referral made by the Champion or Guardian:

In signing this form you are declaring that this concern has been raised in good faith and the details as far as you know are factually accurate.

Signed by staff member: _____ Date: _____

Signed by FTSU Champion: _____ Date: _____

Please forward this form to the Freedom to Speak Up Guardian via email (scan hard copies): wah-tr.freedomtospeakup@nhs.net

Results of fact finding exercise (to be completed by Guardian's office)

Feedback given to staff member:

By: _____ Date: _____

Response from staff member:

Details of any follow up action to be taken:

Final approval by Guardian and recorded on Guardian's case record file

Signature: _____ Date: _____

Name: _____

Appendix 4:

Details of Policies and Procedures Available for Dealing with Work Related Issues or Concerns

If any individual has a genuine concern about a practice, process or issue, they should first of all consider the nature of the concern and determine whether or not it falls within any of the following policies and procedures:

- Disciplinary;
- Grievance (Disputes Resolution);
- Equality and Diversity;
- Dignity at Work/Harassment and Bullying;
- Standards of Business Conduct;
- Standing Financial Instructions

- Professional or ethical guidelines/codes of practice/conduct (for example, GMC, NMC)
- Investigation of Incidents policy
- Safeguarding Policies
- Duty of Candour
- Fraud and Corruption Policy
- Substance Misuse Policy

Full details may be found on the Intranet.

Appendix 5

For Policy Development use only
Supporting Document 1 - Equality Impact Assessment Tool

To be completed by the key document author and attached to key document when submitted to the appropriate committee for consideration and approval.

		Yes/No	Comments
1.	Does the policy / guidance affect one group less or more favourably than another on the basis of:		
	Race/Ethnic Origin/Nationality/culture	NO	See WRES
	Disability	NO	
	Gender	NO	
	Religion / Belief	NO	
	Sexual Orientation: including L.G.B.T.	NO	
	Age	NO	
	Marital Status	NO	
	Gender Reassignment	NO	
	Maternity/Pregnancy	NO	
2.	Is there any evidence that some groups are affected differently?	NO	Although nationally there is evidence that staff from certain groups may not raise concern
3.	If you have identified potential discrimination, are any exceptions valid, legal and / or justifiable?	N/A	
4.	Is the impact of the policy / guidance likely to be negative?	NO	
5.	If so can the impact be avoided?	N/A	
6.	What alternatives are there to achieving the policy / guidance without the impact?	N/A	
7.	Can we reduce the impact by taking different action?	N/A	

NB:

Where an inappropriate, negative or discriminatory impact has been identified please proceed to conduct a Full Equality Impact Assessment and refer to Equality and Diversity Committee, together with any suggestions as to the action required to avoid / reduce this impact.

Advice can be obtained from the Equality and Diversity Leads in HR and Nursing Directorates (details available on the Trust intranet).

Appendix-6 Financial Risk Assessment

To be completed by the key document author and attached to key document when submitted to the appropriate committee for consideration and approval.

	Title of Document:	Yes / No
1.	Does the implementation of this document require any additional Capital resources	No
2.	Does the implementation of this document require additional revenue	Yes – budget for FTSU Guardian
3.	Does the implementation of this document require additional manpower	Yes – FTSU Guardian and Champions
4.	Does the implementation of this document release any manpower costs through a change in practice	No
5.	Are there additional staff training costs associated with implementing this document which cannot be delivered through current training programmes or allocated training times for staff	No – tie into existing Managers training, induction and mandatory training.
	Other comments:	

If the response to any of the above is yes, please complete a business case and which is signed by your Finance Manager and Directorate Manager for consideration before progressing to the relevant committee for approval