

Whistle-Blowing (Raising Concerns) Report

1. Executive Summary

This paper provides an update on raising concern cases from July 2015 to present.

2. Summary/Key points

The Raising Concerns at Work Policy is in place to provide any Trust employee with a number of options and ways to raise a concern and there are a number of ways of doing this either openly, confidentially, or anonymously. A non-executive director member of the board, Ruwan Weerasekera, oversees raising concerns for the Trust.

The issues raised have been investigated and the outcomes, where known, highlighted below. There are no particular trends or patterns of behaviour identified as a range of issues have been identified. However, where issues are identified the Director of HR and OD reviews the outcomes and ensures actions are taken and any learning shared as appropriate. The cases reported since July 2015 are outlined in the table below:

	Raised by	Issue	Date Raised	Lead Manager	Status and date of resolution	RAG
1.	Dermatology Consultants	Patient safety due to staff shortages and job planning/productivity expectations	16 February 2017	Lee Martin	RW and CG met with 3 clinicians to hear concerns which were subsequently discussed with COO and senior departmental colleagues. COO met with Clinical Lead to agree an action plan which is being implemented by the division. RW requested if they had any outstanding concerns to raise them with him. Close	Green
2.	Member of staff	Issues in Ealing	September 2016	Lee Martin	An investigation has been completed.	Red

		Radiology			There were no grounds to substantiate the issues raised. Final report pending	
3.	Anonymous	Problems faced by Nurses in Jack's Place in NPH	30 August 2016	Amanda Pye	Investigator external to the division was appointed. Following the investigatory meetings, the individual roles and responsibilities of the two roles could not be not differentiated. A report with recommendations together with an action plan. Closed	
4.	Anonymous Member of staff	Temporary Staffing Team issues	July 2016	C Gore	The same issues were raised in a grievance which was investigated. Director of HR & OD met with team and is attempting to mediate and resolve the situation through service re-design and a restructure. Closed	
5.	Member of staff (PW)	Clayponds – HCA (AW)	22 April 2016	██████████ General Manager	Investigation completed at the end May 2016. Following an investigation, there was evidence to largely substantiate the concerns raised. Recommendations included measures taken in line with the informal procedure of the Disciplinary Policy. Specific actions such as individual and team meetings were undertaken. Closed	
6.	Anonymous member of staff	Lone Working Issues in MRI	23 March 2016	Amanda Pye	Investigation was undertaken and rotas have been introduced to address the concerns raised. Closed	

7.	Anonymous Member of staff	Clayponds – complaint about Admin Office and others	March 2016	General Manager – [REDACTED]	An informal investigation found that whilst there were no behaviour that warranted formal action there was several learning points highlighted which are being addressed by the manager. Closed	
8.	Member of staff	Management of the process of raising the concern and level of support offered	February 2016	Claire Gore	Investigation completed and being fed back to staff with actions agreed. Closed	
9.	Member of public	Staffing levels at Fielding and Hardy Wards	9 February 2016 Via CQC	Amanda Pye	AP confirmed outcome to CQC closed – no further action required	
10.	Staff Member anonymous	Wembley DN Team Review demand on the team and the team's capacity to meet demand	2 February 2016	[REDACTED]	The recommendations are in process of being carried out and some have been completed already.	
11.	Anonymous	KR Specialist Nurse – compressed hours (Brent Community Children's Services)	18 January 2016	[REDACTED] General Manager – Children's Services	Investigation now concluded and there was no evidence to uphold the allegation. There were a few recommendations to be addressed.	
12.	Member of staff Via CQC	Re: Intestinal Failure Unit - Insufficient staffing on Frederick Salmon Ward; insufficient numbers of staff with IV training; B4 overseas staff administering IV drugs	11 January 2016 Via CQC	Amanda Pye	Amanda Pye / [REDACTED] to advise on resolution. CQC closed – no further action	

13.	Member of staff Via CQC	No gynaecological cover at Ealing Hospital	11 January 2016 Via CQC	Amanda Pye	Upon investigation by the DGM the rota was circulated in error for the week. It is normal practice to provide cover at Ealing. Report outstanding. CQC closed – no further action	
14.	Member of staff (SW) via email 21.12.15	Possible fraudulent activity within the Jeffrey Kelson Centre at CMH	December 2015	██████████ Divisional General Manager - Surgery	██████████, DGM assigned as investigating manager. The matter was talked through with the member of staff who raised the concern and since submitting the concern she felt that the situation got better and does not want the matter to be taken any further. All the concerns raised have been dealt with the individual whose time keeping has now improved. Arrangements being made for feedback to be given to individuals cited in allegations. Update on status of final report and feedback pending.	
15.	Anonymous: member of staff (9.12.15)	Concerns regarding move to T Block	December 2015	██████████	Investigated and responded by Deputy Director of HR	
16.	Anonymous re: Clinician RR	Clinical practice and behaviour of senior clinician toward patients and colleagues	10 November 2015	Charles Cayley	GM undertook an investigation which is due to conclude Mid February. It was concluded there was no evidence to support the claim.	
17.	Ex-employee re: Willesden & Kilburn HV	Allegations ranging from general	October 2015	██████████	Investigation complete – report expected 22 January. There was no	

		conduct, bullying, lack of support and threatening behaviours			evidence to substantiate the allegations however training needs were identified.	
18.	Member of staff re: Estates Electrical Contractor D Cook	The use of electrical contracting firm	8 October 2015	Nigel Myhill	It is recommended that the Dept. extends the process of having tender reports undertaken describing value for money of the preferred response in order to ensure objective selection of contractors.	
19.	Staff member re: Brent & Ealing Wheelchair Service	Alleged 'dire' treatment of staff by the service lead	August 2015	██████████ General Manager – Adult Services	<p>There were delays due to receiving key witness statements however investigation is now complete and report is to be finalised.</p> <p>The report was finalised in June 2016 and the findings shared with staff prior to the service transfer to the new provider. Following the investigation there were inconclusive findings. It was recommended that the new provider of the service review operational and governance arrangements within the service and ensure robust and inclusive process are in place.</p>	
20.	Anonymous re: Emergency Department	Concerns that the ED does not have a current fire certificate	July 2015	Nigel Myhill	Preliminary review undertaken to address the points raised.	
21.	Anonymous re: Agency staff	Overuse of agency staff	July 2015	██████████	Reviewed as part of the Trust agency spend and monitored on a weekly basis	

					through the recruitment and temporary staffing working group.	
22.	Anonymous re: Clinician RS	Complaint regarding clinical trials.	June 2015	Charles Cayley	Complaint was received via an email from the CQC [REDACTED] [REDACTED]. Complaint concluded.	

3. Freedom to Speak up Guardian

Lord Robert Francis' Freedom to Speak Up report was published in February 2015 (having been commissioned by the Secretary of State following the Mid-Staffordshire Report) made a number of recommendations and contain a number of principles and actions for regulatory bodies, government and healthcare providers against the following five themes:

- Culture change
- Better handling of cases
- Measures to support good practice
- Particular measure for vulnerable groups
- Enhancing the legal protection

A key action from the Francis report is for each trust to appoint a Freedom to Speak up Guardian. The Trust has appointed its first such Guardian who will be undertaking training in the next few months, once trained, the role will be advertised extensively across the Trust with clear processes identified. The post holder has to have direct access to the CEO however it is recommended that the individual reports into the Director of Corporate Affairs in the first instance. A review of the current raising concerns and whistle blowing policies will also be undertaken to ensure that it clear to staff where there concerns should be raised and with whom.

5. Recommendations

5.1 The Executives are to note the contents of this paper and the further work initiated to implement the recommendations of the Freedom to Speak up Report.