

National Guardian Freedom to Speak Up

Guardian Education and Training Guide
April 2018

Introduction

I am delighted The National Guardian's Office has been able to work with Health Education England and the NHS Leadership Academy to produce such a useful guide to help your development as a Freedom to Speak Up Guardian. Highly skilled and expert guardians will be able to offer high calibre support to their colleagues for the benefit of patient care. I would like to thank everyone who has helped in the development of this guide and in particular the guardians who contributed their views as part of the Advisory Group.

This new guide links to the universal job description and the foundation training for guardians, which will soon be delivered regionally, following our train the trainer programme. The guide can be used at a personal level to identify and address learning needs but also at a regional and national level to identify strengths and areas for development so you can share and learn from each other.

We recognise that Freedom to Speak Up Guardians come from a wide range of professional backgrounds and bring with them a host of skills and competencies. However, it is likely you will have some areas in which you can develop and, using the self-assessment tool in this guide, you will be able to identify your own learning needs and take steps to address these.

You can use the guide to identify your starting point and build on this with help from other guardians in your region. A newly appointed guardian should look to attend Foundation Training within the first three months in the role, to have reached Level One across all domains within six months and Level Two across all domains by the end of the first year. This professional development can be included in your appraisal and preparation for professional Revalidation.

If you self-assess as Level Four in any of the domains please contact your Network Chair and offer your expertise to the group.

This guide is a first version and I would encourage further feedback from you so we can improve this resource in the future.

Dr Henrietta Hughes , National Guardian for the NHS

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Background to the Guide

This Education and Training Guide is a resource for every Guardian's self-development, whatever their experience in the role.

Commissioned by the National Guardian's Office and Health Education England in August 2017, the Guide was compiled by Louisa Hardman from the NHS Leadership Academy with invaluable contributions and guidance from an Advisory Group comprising Freedom to Speak Up Guardians and members of the National Guardian's Office.

Whilst the principle aim of the Guide is to support Guardians' training needs, reflective practice and self-development, it could also be useful for:

- Regional and National Networks who might like to use the resources to support a local conversation about aspects of good practice
- Induction and other training programmes, for which the Guide provides easily accessible materials to use and download
- Organisations keen to support their Guardians by understanding the nature and complexity of the role
- Informing Guardian's organizational appraisals and PDPs

The Guide offers a short perspective on each of twenty-one competencies alongside questions for reflection and links to supportive material which will be regularly refreshed.

However you use the Guide, we hope you find it useful, informative and enjoyable.

Feedback

We welcome feedback on this guide and would value suggestions for improvement and other information that you think it could usefully include.

Feedback should be provided to: enquiries@nationalguardianoffice.org.uk

Using the Guide

The Guide is structured to build from the Guardian Competency Framework and Self-Assessment Toolkit. Once you have self-assessed using the tool on pages 8 to 14, you will find content on each of the twenty-one competencies with questions for (preferably written) reflection and links to associated resources for use in your self-development. Many of the materials can also be downloaded for use in training sessions.

The Guide recognises that Guardians come to the role with diverse backgrounds and a wide variety of experience to use and share, therefore it guides individuals to a wide variety of resources. Given the breadth of the competencies that the role involves, do not be surprised if you assess yourself highly in some areas, but less so in others.

While the Guide concentrates on competency development, it also recognises that the role both requires and develops an individual's personal qualities and practical abilities. For example, a Guardian is expected to be impartial (a personal quality) whilst being able to evaluate various sources of information and feedback (a practical skill). This illustrates the level of self-awareness and self-management required of those in the role. Self-development is about developing yourself both personally and professionally.

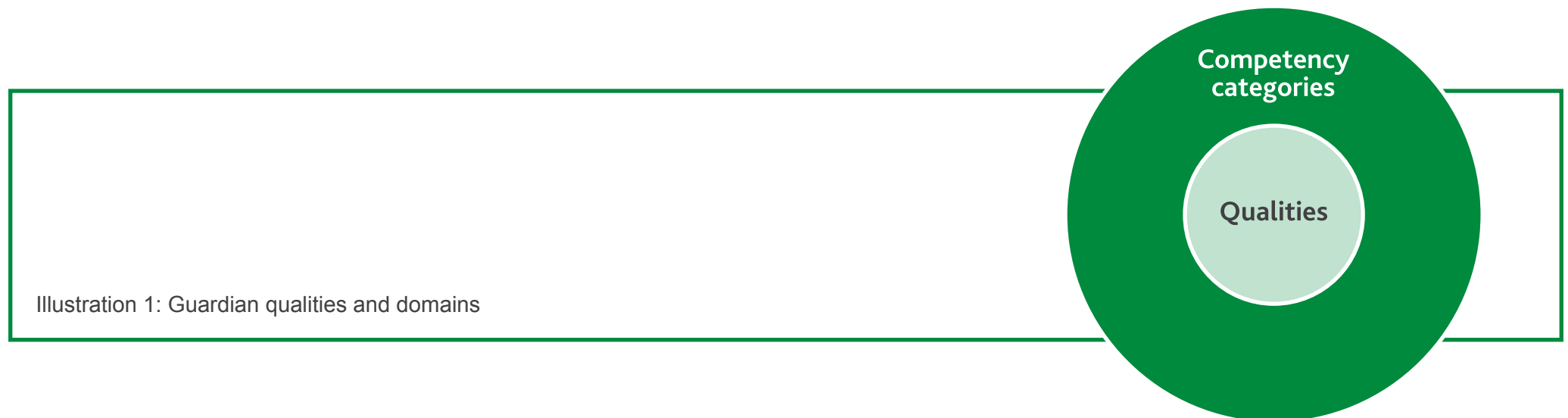


Illustration 1: Guardian qualities and domains

Making speaking up business as usual

Freedom to Speak Up Guardians are a growing community working with their organisation's leadership and alongside existing systems, who enable and empower colleagues to speak up about anything which they think affects the quality of patient care or staff experience and to tackle barriers to speaking up where they are found.

Why is it so difficult to speak up?

The answer, of course, lies in our emotional and psychological disposition. Most of us are at least momentarily defensive when we are told things we don't want to hear, a minority view is frequently difficult to offer for fear of exclusion, and we tend to see what we want to see. Or we are simply unsure that what we want to speak up about is, in fact, wrong. Sometimes, we see our colleagues struggling with an already demanding workload, and do not want to add to that by triggering a chain reaction of events. On occasion, the issues might involve a friend. Frequently, it's easier to simply say nothing.

Which is precisely why speaking up and enabling others to do so requires the compassion, skill and courage that we hope this Guide will help you build.

Questions for reflection

1. Why does being a Freedom To Speak Up Guardian matter to you?
2. How do you describe the role to friends and colleagues?
3. What do you find **most** rewarding about the role?
4. What do you find **most** challenging about the role?
5. How do you know when you're being effective in the role?

Useful resources:

1. PDF of the presentation on '[Beyond Silence](#)' from the Kings Fund Point of Care Programme in 2013
2. Gutkind, L. (2007) *Silence Kills: Speaking Out and Saving Lives* Medical Humanities, London
3. Maxfield, D., Pound, R., (2013) *Silence Kills UK: How Speaking Up Saves Lives in UK Healthcare Organisations*
4. Video: [Margaret Heffernan \(2013\), The dangers of wilful blindness.](#) Courtesy TED.com recorded at TEDxDanubia Sound 2018, under CC licence BY-NC-ND 3.0
5. Video: [Margaret Heffernan \(2012\), Dare to disagree.](#) Courtesy TED.com recorded at TEDGlobal Sound 2012, under CC licence BY-NC-ND 3.0
6. [Reitz, M \(2017\) How Your Power Silences Truth.](#) Courtesy TED.com recorded at TEDxAshridgeHult Sound 2017, under CC licence BY-NC-ND 3.0
7. Example Job Description produced by the National Guardian's Office, page 61.
8. [Barclay's Chief Whistleblower resigns](#)

Freedom to Speak Up Guardian Competency Framework and Self-Assessment Toolkit

Background

This tool is designed to help Freedom To Speak Up Guardians assess their competence to carry out the role to the best of their ability. It is designed to help Guardians identify their learning and training needs, to aid conversations with line managers about training and development, and to measure how their capability grows with experience. It is not intended as a means of assessing performance but should help inform discussions on wider training priorities and also help identify local- and national- subject matter experts who will be able to help support wider development across the Freedom to Speak Up Guardian network, and health and care system more widely.

Frequency

We would encourage FTSU Guardians to review their competencies every 6 – 12 months.

Guidance

The table below includes a summary of the key competencies for those in the Freedom To Speak Up Guardian role. Guardians should consider each element and mark themselves as:

Competency Level	Description
Level One	Is aware of the competency area though without the knowledge, capability and experience to demonstrate it.
Level Two	A good working understanding of the competency area, but with some knowledge and/or capability and/or experience gaps. Further experience and support needed on a regular and consistent basis. Not able to confidently give support and guidance to other Guardians.
Level Three	Working within the context of a secure understanding and knowledge of the competency. Will still require advice and guidance, but are confident 'buddies' and beginning to teach, train and mentor others who are at levels 1 and 2. Aware of the skills and knowledge that they need to keep refreshed, those that they need to practice more, and the further experience, mentoring, coaching or training they need within a competency to reach highest level.
Level Four	Capable and confident with advanced knowledge, expertly demonstrating the principles, processes, behaviours and skills necessary for the competency. Aware of the skills and knowledge that needs to be refreshed to maintain this level. Able to support others in reaching a greater understanding and knowledge of the competency. Able to train or coach others in this competence area.

We would not expect any one person to be at Level Four for every competency and the initial aim is for each Freedom to Speak Up Guardian to progress to Level 2 over the first year of their role. If there are multiple Freedom to Speak Up Guardians in an organisation, subject matter expertise may be spread across the group.

If you are at Level Four in any of the competencies

Let the National Guardian's Office know so that we can look at ways to share your knowledge and skills further. Consider helping and supporting others to develop, and share your experience across your regional or national network by becoming a 'training lead.' Also, keep abreast of developments as there is always more to learn.

Self-Assessment Tool

Competency	Typical skills	L1	L2	L3	L4	Notes/training needs	Page Number
Communication							
Development and delivery of communication and engagement programmes	<ul style="list-style-type: none"> • Planning • Collaborative working with communication specialists to refine and disseminate messages • Development of resources to deliver and refresh messages • Presentation skills and ability to adapt style and approach depending on audience • Media training 						14
Sensitive and supportive engagement with individuals, particularly those who find it difficult to speak up	<ul style="list-style-type: none"> • Visible and accessible to all staff • One to one communication skills and ability to listen, respond and question appropriately • Coaching and counselling • Able to anticipate change and understand personal impact on individuals • Mediation • Understanding of open/ confidential/ anonymous approaches and how to manage them 						16

Partnership building and relationship management							
Knowledge of responsibilities related to safety and quality that teams and partners within and outwith the organisation hold	<ul style="list-style-type: none"> Partnership working and networking skills 						19
Knowledge of the speaking up agenda and local systems							
Knowledge of local speaking up processes and sources of support and guidance, including escalation processes	<ul style="list-style-type: none"> Appropriate and effective triaging of issues Understanding of the trust policies and procedures to support staff speaking up Understanding of the Public Interest Disclosure Act 1998 						21
Knowledge of wider FTSU developments, best practice, and direction from National Guardian Office	<ul style="list-style-type: none"> Maintains knowledge of current best practice policy and guidance on speaking up in large complex organisations 						21
Knowledge of processes to escalate potential patient safety and quality issues	<ul style="list-style-type: none"> Understanding the range of professional duties for all registered staff groups 						21
Knowledge of wider policy initiatives, and sources of additional support from other organisations, as well as those within individual organisations	<ul style="list-style-type: none"> Keeping abreast of developments Knowledge of the roles that other organisations play 						21

Driving continuous improvement							
Review and improvement of FTSU guidance and processes	<ul style="list-style-type: none"> • Able to define strategic problems and choices and develop strategic action plans and policy development • Ability to invite feedback and ideas to drive improvement 						22
Development of strategies and action plans to improve FTSU culture	<ul style="list-style-type: none"> • Awareness of some strategic analysis frameworks/approaches and models (e.g. SWOT, PESTEL, Pugh matrix, Pareto) • Planning 						26
Awareness of, and reflection on, own skills and abilities and training needs	<ul style="list-style-type: none"> • Self-reflection and awareness • Knowledge of training and development options and opportunities • Commitment to learning improvement and personal development 						27
Measuring effectiveness and impact							
Development of measures/ indicators of local FTSU culture	<ul style="list-style-type: none"> • Analysis and identification of trends from complex data 						29
Assessment of the effectiveness of FTSU processes and activities	<ul style="list-style-type: none"> • Confident analysis and evaluation of various sources of evidence and feedback to support conclusions 						29

Demonstration of the impact that speaking up is having	<ul style="list-style-type: none"> • Analysis and evaluation of information to evidence impact of actions and plans 						29
Ensuring information and data are handled appropriately	<ul style="list-style-type: none"> • Knowledge and information management skills • Understanding and interpreting data, comfortable using quantitative and qualitative information • Maintaining confidentiality 						29
Time management and prioritisation							
Development and support of a network of FTSU 'advocates/champions' [where appropriate]	<ul style="list-style-type: none"> • Management • Leadership skills • Ability to identify key staff groups internal and external to trust • Mentoring skills 						32
Ability to manage/oversee multiple cases and own priorities	<ul style="list-style-type: none"> • Case management • Supervision 						33
Training and capability building							
Assessment of the knowledge and capability of staff to speak up and to support others when they speak up	<ul style="list-style-type: none"> • Working with HR specialists to assess staff capability • Knowledge of and access to appropriate training and skill raising activities 						36

Taking action to ensure that all staff have the skills and knowledge they need to enable them to speak up effectively, and to support others to do so	<ul style="list-style-type: none"> Working with HR and Comms specialists to develop staff capability and raise awareness of good practice Working with staff side/ Union representatives to promote good practice 						38
Working with senior leaders							
Development of strong and open working relationships with senior leaders	<ul style="list-style-type: none"> Relationship building Communication skills Demonstrable independence 						39
Production and presentation of reports to help senior leaders understand FTSU culture	<ul style="list-style-type: none"> Report writing and understanding of effective communication methods Presentation skills, adopting the right approach and medium for the audience Strategy development 						41
Holding senior leaders to account, challenging them, and supporting them in improvement	<ul style="list-style-type: none"> Relationship building Communication skills Resilience Using influence effectively 						43

Priorities for improvement and next steps

Communication: development and delivery of communication and engagement programmes

Some thinking about this competency

A good place to start as you think about preparing a communication and engagement programme is to think about communications that have really engaged you – and those that haven't:

Questions for reflection

1. What's the difference in these for you?
2. What can you learn from comparison this to build into your programmes?

A distinction that may become immediately clear is that communication is the foundation of engagement but that they are not the same thing. Online dictionary definitions make this point well. Communication is described as “the imparting or exchanging of information by speaking, writing, or using some other medium” whilst engagement is “the emotional commitment”; the difference between what you say and its impact.

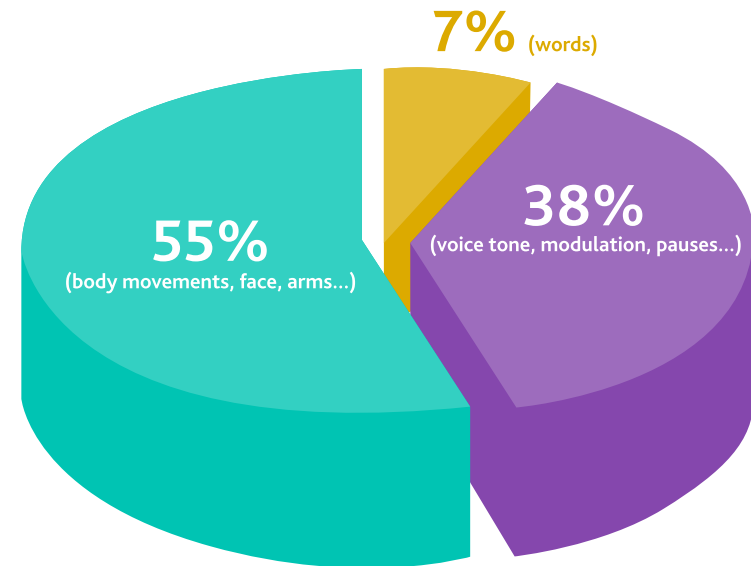
What, then, do you need to do to create an engaging communication?

Carmine Gallo's book 'Talk Like Ted' (2014) thoroughly researched this question to explain why some talks are so popular. His research found that it wasn't so much the content, nor the credibility of the speaker but that both these were ignited by the authenticity of the speaker's passion. In other words, to generate engagement in your communication, you first need to demonstrate it yourself. Following his guidance:

Questions for reflection

1. How much of your own experience do you include in your presentations?
2. How enthusiastic are you during presentations?
3. Is creating the tone of the presentation part of your preparation?

This last question particularly relates to Mahrabian's (1971) important research which showed that we make sense of ambiguous messages mostly through non-verbal communication. The surprise in this is that how we look seems to be more important than what we actually say:



Exactly how and how much each person is going to understand through content, body language and tone is, essentially, one of the differences that we need to adapt our style to respond to. Linking this to the well-known Myers Briggs Profile, a more 'sensing' audience is likely to engage with the detailed, practical data-rich 7%, whereas an 'intuitive' audience may be more interested in the brief, visionary, big idea.

As well as thinking about the style and tone of your communications, you will also need to think about how often you refresh your campaign to maintain awareness, particularly for groups of staff with high turn-over.

Questions for reflection

1. How do you adapt your presentation style to your audience's personality preferences?
2. How do you ensure that your communications engage each personality style?
3. How do you ensure that your FTSU communications engage all staff groups, especially those with high turn-over or occasional hours?

Useful resources:

1. Mehrabian, Albert (1971). *Silent Messages* (1st ed.). Wadsworth, Belmont C.A..
2. Gallo, C. (2014) *Talk Like Ted*. St.Martin's Press, London.
3. Video: [Carmine Gallo \(2014\), Talk Like Ted](#).
Courtesy Talks At Google, Carmine Gallo: "Talk Like TED" | Talks at Google - YouTube
4. Video: [Caroline Goyder \(2014\) The surprising secret to speaking with confidence](#).
Courtesy TED.com recorded at TEDxBrixton Sound 2012, under CC licence BY-NC-ND 3.0.

Communication: sensitive and supportive engagement with individuals, particularly those who find it difficult to speak up

Some thinking about this competency

Providing sensitive and supportive engagement, particularly for those who find it difficult to speak up, can make the difference between colleagues speaking up and not. As you discussed during initial training, colleagues do have a choice – to speak up to you, to speak out to others inside and outside the organisation and to remain silent. As speaking up can be hard and often stressful, the first thing to think about is whether people see you as holding confidences well. Most workplace environments are full of relationship networks and it's often impossible to anticipate who knows what and who and will speak to whom. Which means that you need to think about:

Anonymity and confidentiality are different and it is important not to confuse the two. Anonymity in basic terms means that someone is unwilling to reveal their identity and confidentiality means that someone is willing to reveal their identity to you but not wider. It is always helpful to manage expectations about confidentiality. For example, if someone comes to you after having spoken up about an issue to others within or outside the organisation, then it is likely that their identity will be revealed or already be known. There may be occasions where confidentiality can be assured but only to a certain point, for example, where the matter becomes subject to legal proceedings where the identity of the person speaking might be required. It is always helpful to assure the individual that this will be discussed with them in advance, for example and how it will be managed.

The safer the space you can create, the more likely your colleague is to speak up. Beyond place and confidentiality, the quality of your listening is critical. The recent rise of interest in mindfulness suggests that this apparently simple act of acceptance and receptivity is misleadingly difficult; our attention wanders, we start thinking about what we're going to say next and wondering how to make sure we can conclude this conversation to be at our next meeting on time.

Questions for reflection

1. How well known are you? Colleagues are much more likely to seek you out if they know you or of you. To what extent have you thought about your visibility to staff mentioned during the Foundation Training (vulnerable groups, new starters, isolated workers, out of hours workers, off site workers)? Have you become part of the organisation's Induction training?
2. Where do you meet colleagues? How comfortable is this place for colleagues to access? Will colleagues be seen as they approach the meeting place and might this be in any way awkward? Will they be overseen when they are with you so that others will interpret what the conversation is about? Do you have off site meeting venues you can use?
3. How clearly do you check what your colleague wants from the conversation? It is easy to assume that they want to take some kind of action – or want you to take some kind of action on their behalf when they may simply want to vent.
4. How do you manage anonymous contacts by telephone, in writing, by other methods of communication?
5. At what point do you discuss confidentiality and what do you mean by this?

Questions for reflection

1. When did you last feel really listened to? What did the other person do and not do that made you feel this? What can you learn from this?

In future conversations, you might like to have Whitworth et al's (1998), framework in mind to reflect on the quality of your own listening. They describe three different levels of listening that are now widely used in the field of coaching:

Level 1

I am thinking about myself. I am preoccupied with what I want, what I am feeling and what I might want to say. In my communicating I am worrying about whether I am asking good questions, what I should ask next, whether I am being helpful and how well I am doing. Indicators include giving advice, talking about myself, feeling anxious or irritated, attending to my own agenda.

Level 2

I am concentrating on the other person. I am interested and intrigued. I am aware of my own judgements and able to put them to one side. My body language is mirroring theirs. I am able to summarise exactly what they have been saying. I am focused on them, following their agenda with my questions and responses. This is active listening.

Level 3

I am 'super aware'. I am fully attuned to the other person and aware of my own feelings, judgements and responses as well as other noises or goings on in the immediate environment. I hear the music behind the words. I notice changes in body movement, voice and energy. I am using my intuition and instincts. I am using the here and now and can help the other person learn from it. The dancer and the dance are one. This is the empathic state; I am using my emotional memory and physical recall to connect to their present emotional state. I am aware I am separate from them, not over-identified with them. I do not lose sight of my own shoes whilst walking momentarily in theirs. Level 3 listening can be transformational. We've probably all been in conversations when everything has fallen into place and yet the other person doesn't appear to have done anything; except, of course, they have – they've listened really well.

Questions for reflection

1. Typically, what's your current level of listening? How can you maintain or move it to the next level, especially when you're busy?

Alongside listening we offer sensitive and supportive engagement through questions that enable our colleagues to see issues more clearly and so feel better understood. As Einstein said, "most teachers waste their time by asking questions that are intended to discover what a pupil does not know, whereas the true art of questioning is to discover what the pupil does know or is capable of knowing". For this to be the case, our questions need to be kind rather than judgmental and genuinely curious. Typically, this means that the most helpful questions are both open ('how did you' rather than 'did you') and appreciative ('what's possible' rather than 'why didn't you'). This use of questions to build confidence and focus on possibilities is especially characteristic of coaching, for which you might use the following list of questions (2) and in this order:

- What's the issue?
- What makes it an issue now?
- Who owns this issue/problem?
- How important is it on a 1-10 scale?
- How much energy do you have for a solution on a 1-10 scale?
- What have you already tried?
- In an ideal world what would be happening around this issue? How would you know it had been resolved?
- What standing in the way of that ideal outcome?
- What's going RIGHT here – even if it's only a bit?
- Imagine you're at your most resourceful, what do you say to yourself about this issue?
- What are the options for action here?
- What criteria will you use to judge the options?
- Which option seems the best one against those criteria?
- So what's the next/first step?
- When will you take it?

You will notice that this is a great set of questions to develop both the insight and action that is typical of coaching. Often this moving on is only possible once your colleague has gained the acknowledgement and acceptance that comes through questions that are more closely associated with counselling, such as:

- What is the issue from your perspective?
- How does this typically make you feel?
- What needs to happen for you to do something about this situation?

Questions for reflection

1. To what extent are my questions designed to help me or my colleague?
2. How helpful do I feel I'm being when I'm asking questions?
3. How appropriately am I using coaching and counselling questions?
4. How can I improve the questions I ask?

Useful resources:

1. Whitworth L, Kimsey-House H & Sandahl P (1998) *Co-Active Coaching* Palo Alto CA: Davies Black Publishing
2. Management Futures Ltd: from their Executive Coaching training manual. P.76
3. Vogt, E., Brown, J., Isaacs, D. (2003) [The Art of Powerful Questions](#).
4. Coaching resources from the [NHS NE Leadership Academy](#) website.

Partnership building and relationship management: Knowledge of responsibilities related to safety and quality that teams and partners within and outwith the organisation hold

Some thinking about this competency

The nature and responsibility of the FTSUG role mean that it isn't possible and you won't be fully effective if you try to do everything yourself. Real culture change requires engagement and commitment from numerous individuals so your ability to work with and through colleagues rather than to beaver away on your own is a solid starting point.

Questions for reflection

1. What is your assessment of your capacity to undertake the FTSUG role?
2. How likely are you to see asking colleagues for support as a strength or a weakness?
3. How wide is your existing network?

There are two fundamental aspects to this competency; knowing who and knowing how to network. So, let's start with considering who holds responsibilities for safety and quality within and outside your organisation.

Questions for reflection

1. Please make a quick list of these people and their responsibilities to compare with a FTSUG colleague's list.
2. How strong is your relationship with these colleagues?
3. How could you strengthen your network with these people?

A useful approach to assessing the strength of your network is to take a piece of paper and then to:

- a) Put yourself in the middle of the paper
- b) Make a note of everyone you need in your network to undertake your role
- c) Write each person's name on your paper, placing them at a distance to you to indicate how important your relationship with them is (so, names closest to you matter most, furthest away matter least) and writing their name in red, blue or green to indicate the current quality of your relationship.

In an instant, you will see who you need to strengthen your relationship with (the red names closest to you) and also who can help you to do so (the green and blue names).

During the Foundation Training, you discussed the partnerships you need to cultivate to do your job well. These included:

Inside your organisation:

- HR/business partners
- OD
- PALS
- Complaints teams
- Health and Well Being Boards
- Staff diversity networks
- Communications
- Incident reporting team
- Patient quality/safety teams
- Managers
- Board
- Chief Executive
- Chair
- NEDs
- Staff governors
- Unions/staff side reps
- Occupational health
- Counter-fraud teams
- Guardian of safe working hours

Outside your organisation:

- Regional/national networks
- National Guardian's Office
- FTSUGs in other trusts
- CQC
- NHS Improvement

Questions for reflection

1. To what extent are all these colleagues now in your network?

Of course, you will only invest time in networking if you consider it to be worthwhile. Despite – or maybe because of social media – many of us still think there may be something a bit distasteful about networking, especially if we associate it with promoting our personal image.

Questions for reflection

1. What is your attitude to networking?

This is where we may need to think again. A true network is one in which colleagues offer one another mutual support, characterized by a cycle of give and take. Thinking about it like this means that you can offer as much to those in your network as you stand to receive. For example, being always mindful of confidentiality, you will be a rich source of data that others will wish to tap into to identify areas of concern/improvement. In addition, you might like to read resource 2, below, which suggests that 90% of our success comes from who knows about our work rather than from our work itself. Resource 1 offers ideas on how to improve your networking.

If you feel awkward about networking then try the following ideas to make a start:

1. Try setting yourself up on a social media networking site, such as LinkedIn or Twitter
2. Contact colleague who are likely to be working on the kind of projects that you are to compare notes
3. Take the time to compliment a colleague on some good work they're involved in and ask if you can meet them to discuss their approach.

As a FTSUG you not only need to network but also to consider building a network of advocates/champions or ambassadors. This will require you to actively identify potential departments, existing networks to interest and engage them, to invite, inform, inspire and involve them. Your network of FTSU advocates are not only critical to ensuring that everyone has access to someone from outside their line-management chain who can advise and support them but also to your succession planning.

It's very likely that your working relationship with some members of your network and many of your advocates will be closer to partnership working than to networking.

Questions for reflection

1. What is your understanding of the difference between networking and partnership working?
2. Who do you currently work in partnership with?

While it is very likely that a sound network is a good foundation for future partnership working, the latter requires more of a clear, shared goal, mutual trust and clear working arrangements. Working in partnership means doing things together, relying on each other and being reliable and dependable.

Questions for reflection

1. Who do you now need to work in partnership with?

Useful resources:

1. [Advice on networking from Southampton University](#) (related to career development but applies more broadly)
2. [Harvey Coleman's work on Performance, Image and Exposure.](#)
3. [Advice on effective partnership working from the Knowledge Biz.](#)

Knowledge of the speaking up agenda and local systems: Awareness of current practise, shared learning and developments from NGO

Some thinking about this competency

You'll probably have noticed that working as an effective FTSUG is more about how you build relationships, create trust and challenge with courage than about being an expert in, for example, employment law. However, being confident about your understanding of key facts and policies is important. Colleagues will look to you for calm guidance and you may even find that you're usually more assertive when you're sure of your ground. With that in mind, the following table offers useful links and sources of important information.

Questions for reflection

1. What do you think matters most for you to know well as a FTSUG?
2. Who can you rely on to help you understand the things that you're less confident about?
3. How does not thinking that you know enough affect your confidence and contribution to a conversation?
4. To what extent do you view your intuition and prior experience to be a form of knowledge to draw on?
5. How do you assess the immediacy by which you might need to take action?
6. Are you confident that you know who to contact in the event of an issue affecting patient safety for example that requires immediate action?
7. Are you linked in with your region and who to approach for advice and 'buddying' support ?

Competency	Skills	Resources
Knowledge of local speaking up processes and sources of support and guidance	<ul style="list-style-type: none"> • Appropriate and effective triaging of issues • Understanding of the Trust policies and procedures to support staff speaking up • Understanding of the differences between open, confidential and anonymous and how to manage them • Understanding of the Public Interest Disclosure Act 1998 and when to recognise individuals who might require legal advice and signpost accordingly 	<ul style="list-style-type: none"> • A Guide to PIDA • Public Interest Disclosure Act 1998 • Public Concern at Work • Whistleblowing: list of prescribed people and bodies
Knowledge of processes to escalate potential patient safety and quality issues	<ul style="list-style-type: none"> • Understanding of the range of professional duties for all registered staff groups 	<ul style="list-style-type: none"> • Joint statement from the Chief Executives of statutory regulators of healthcare professionals • Health and social care regulators
Knowledge of wider policy initiatives, and sources of additional support from others organisations, as well as those within individual Trusts.	<ul style="list-style-type: none"> • Keeping abreast of developments • Knowledge of the roles that other organisations play 	<ul style="list-style-type: none"> • NHS England • NHS Improvement • Care Quality Commission • Health Education England • NHS Employers
Knowledge of wider FTSU developments, best practice and direction from the National Guardian Office	<ul style="list-style-type: none"> • Maintains knowledge of current best practice policy and guidance on speaking up in large complex organisations 	<ul style="list-style-type: none"> • National Guardian's Office

Driving continuous improvement: Review and improvement of FTSU guidance and processes

Some thinking about this competency

So, you have your FTSU guidance and processes in place even though they are relatively new. In fact, it's probably fair to say that colleagues are still getting used to both the idea of a Guardian and the guidance.

Questions for reflection

1. How well is your FTSU guidance and process working?
2. How do you know?
3. How are you capturing any feedback that colleagues may have given about their reactions to the guidance and processes?

Paying attention to colleagues' reactions is, of course, essential to making sure that your guidance and processes work for those they are designed to support. Yet you'll be time pressured, making it harder to adopt the attitude of continuous improvement that recording feedback requires - but the cycle of plan, do, study, act (PDSA) applies as much to your work as a Guardian as it does to your other responsibilities. In fact, being busy with FTSU guidance and processes could be misleading. You might interpret it as an indication of the success of your guidance and process whereas your colleagues might be keeping you busy because they don't understand them without your help!

Questions for reflection

1. When do you plan to review the effectiveness of your guidance and process?
2. Which other FTSU guidance will you want to compare yours with?
3. Who will you invite feedback from?
4. How and when will you invite feedback?

In thinking this through, you might like to look at the characteristics of useful feedback (as well as how defended or open you are to feedback) on page 27. You will also need to think about what you want to measure and the kinds of feedback that will give you the information you need.

This extract from the Institute of Healthcare Improvement's resources on measurement illustrate the point:

Three Types of Measures

Use a balanced set of measures for all improvement efforts: outcomes measures, process measures, and balancing measures.

Outcome Measures

How does the system impact the values of patients, their health and wellbeing? What are impacts on other stakeholders such as payers, employees, or the community?

- For diabetes: Average hemoglobin A1c level for population of patients with diabetes
- For access: Number of days to 3rd next available appointment
- For critical care: Intensive Care Unit (ICU) percent unadjusted mortality
- For medication systems: Adverse drug events per 1,000 doses

Process Measures

Are the parts/steps in the system performing as planned? Are we on track in our efforts to improve the system?

- For diabetes: Percentage of patients whose hemoglobin A1c level was measured twice in the past year
- For access: Average daily clinician hours available for appointments
- For critical care: Percent of patients with intentional rounding completed on schedule.

Balancing Measures (looking at a system from different directions/dimensions)

Are changes designed to improve one part of the system causing new problems in other parts of the system?

- For reducing time patients spend on a ventilator after surgery: Make sure reintubation rates are not increasing
- For reducing patients' length of stay in the hospital: Make sure readmission rates are not increasing

Questions for reflection

1. What do you want to measure and therefore to ask for feedback on (the structure, the content, the helpfulness of your guidance and processes)?
2. What kind of feedback do you want (numerical or verbal)?

Essentially, when you begin to review and want to improve your guidance and processes, you are moving into the territory of research and so might like to broaden out question, 2, above by also asking whether you're looking for qualitative or quantitative feedback. There's a resource on understanding this distinction between types of feedback below, (1).

To make your invitation to offer feedback as helpful as possible you might also like to think about asking for improvement ideas that link to your colleagues' feedback. So, for example, rather than just asking 'please rate the helpfulness of the FTSU guidance on a scale of 1 -10', you might add 'if your score falls below 8, please comment on how we could improve the guidance'.

As you begin to interpret the feedback, themes will hopefully emerge which you'll want to take action on. What and how you progress these brings us to the 'strategic' aspects of this competency.

Questions for reflection

1. What do you think makes a problem, choice or action 'strategic'?
2. How strategic do you consider yourself to be?

The dictionary defines strategic as "the identification of long-term or overall aims and interests and the means of achieving them". This indicates, then, that a strategic approach to how you review the feedback and improvement ideas would mean that you'd be looking for:

- the actions you can take that will make the biggest or most significant difference to how your guidance achieves its aims
- the sequence of early, mid and longer-term actions you can take that will achieve the same

During the Foundation Training, examples of strategic work included:

Proactive

- Communicating the role
- Inductions
- Training for managers and staff
- Developing partnerships

Strategic

- Triangulating data
- Looking for trends
- Aligning FTSU with corporate priorities

Reactive

- Listening to and supporting staff
- Ensuring investigations happen well
- Providing feedback

Tactical

- Working with OD teams
- Working with staff groups
- Looking for opportunities in change

Facing the Board

- Writing and presenting Board reports
- Speaking truth unto power

Facing the Frontline

- Walking the floor
- Ensuring feedback is given

Part of your action plan may well be some policy development, which is distinct from a procedure in that:

Policies

Policies are clear, simple statements of how your organisation intends to conduct its services, actions or business. They provide a set of guiding principles to help with decision making.

Policies don't need to be long or complicated – a couple of sentences may be all you need for each policy area.

Procedures

Procedures describe how each policy will be put into action in your organisation. Each procedure should outline:

- Who will do what
- What steps they need to take
- Which forms or documents to use.

Procedures might just be a few bullet points or instructions. Sometimes they work well as forms, checklists, instructions or flowcharts.

By way of example, this is the Royal Marsden's Bullying and Harassment Policy Statement, taken from an extract of a 2016 Board Paper:

- 1 *The Royal Marsden NHS Foundation Trust (hereinafter called the Trust) will not tolerate any behaviour at any level in the organisation, which constitutes bullying or harassment. Any reported allegation of bullying or harassment will be investigated fully and promptly by the Trust and appropriate action will be taken which may include disciplinary proceedings against the offender which could result in disciplinary action up to and including dismissal.*
- 1.2 *All allegations concerning bullying or harassment will be taken seriously and dealt with fairly, sensitively and confidentially by the Trust and there will be no victimisation of any member of staff making or involved in a complaint.*

- 1.3 *The 'Bullying and Harassment - Managing Incidents at Work Policy and Procedure' has been developed to enable members of staff who believe they have been the subject of bullying or harassment to take action and to ensure that all staff understand their responsibilities under the policy.*

- 1.4 *This policy should be read in conjunction with the Trust's policy on Equality and Diversity and with reference to the Grievance and Disputes Policy and Procedure and the Employment Partnership Principles.*

Finally, strategy also indicates that you keep the bigger picture in mind. So the last question to ask yourself might be how you can develop your FTSU strategy in line with other areas, e.g., safety and quality, through working with key stakeholders to ensure that your next steps are integrated rather than isolated.

Useful resources:

1. [Types of feedback.](#)
2. [Institute of Healthcare Improvement resources on the PDSA cycle and wider quality improvement resources.](#)
3. [Community Tool Box resources.](#)
4. [Manage your volunteers.](#)

Driving continuous improvement: Development of strategies and action plans to improve FTSU culture

Some thinking about this competency

Whilst the last competency looks at strategies and action plans to improve FTSU guidance and process, this section considers how you can use both to improve FTSU culture.

Questions for reflection

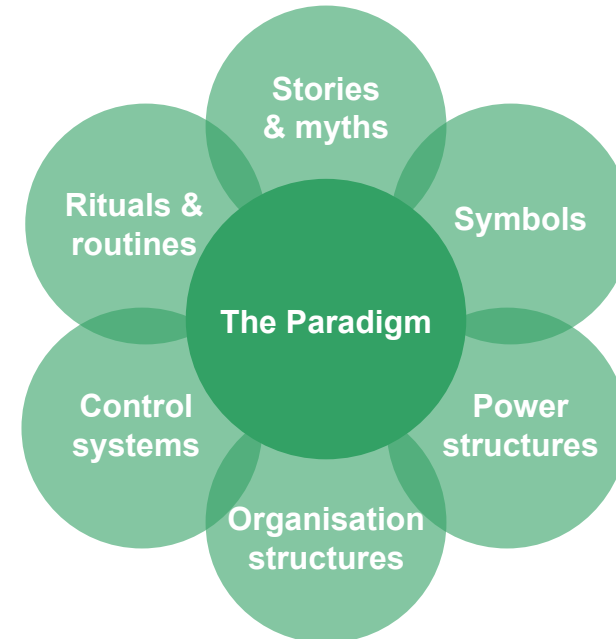
1. What do you think culture is?
2. What do you think culture is made up of?
3. How would you describe your current FTSU culture, its strengths and weaknesses?
4. How might you begin to improve FTSU culture?

There are numerous studies of culture and culture change within and outside the NHS, with one widely accepted definition of culture being “patterns of action and interaction” (Johnson and Scholes, 1988). This is quite a helpful way of thinking about culture because it means that changing it doesn’t necessarily require expensive analysis or a major change programme. How two people speak and what they talk about is a ‘pattern of interaction’ – if we talk in new ways about different things then we are contributing to culture change! In fact, this is the essence of the FTSU Guardian’s role.

Useful resources:

1. [Johnson, G., on use of the Culture Web.](#)
2. [Mindtools on using the SWOT analysis tool.](#)
3. [Chartered Institute of Personnel and Development’s resource on using the PESTEL tool.](#)
4. [Using the Pugh Matrix.](#)
5. [Understanding the Pareto Chart.](#)
6. [IHI Project Planning Form.](#)

Johnson and Scholes (1988) helpfully provided us with a way of mapping culture, too, so that we can think about how well each in turn supports FTSU. Please refer to resource 2, below, to use this for yourself:



You can combine this tool with some other useful strategic analysis models, such as SWOT (3), PESTEL (4), the Pugh Matrix (5) and Pareto (6), each of which are explained in the resources section, below.

For example, combining the Cultural Web with the SWOT analysis might indicate that your organizational structures (roles, reporting lines, functions) are a strength whilst your rituals and routines are a weakness. As a result, you could identify some of the rituals and routines (1-1s, how meetings and handovers are undertaken) and create a solid plan for their improvement. A combination of action plans in the form of a project plan (7) to strengthen areas of weakness could, using this thinking, improve your FTSU culture.

Driving continuous improvement: Awareness of, and reflection on, own skills and abilities and training needs

Some thinking about this competency

The very fact that you are using this Education and Training Guide confirms your commitment to your own learning, improvement and personal development.

So, how do you know what to learn and improve? The challenge in answering this question is that we know ourselves from the inside-out and our colleagues know us from the outside-in; in other words, we can be clearer about our intention than we are about our impact. How much do you really understand about what it's like to be on the receiving end of you?

The well-known Johari Window (1955) captures this perspective well:

Open Self

Information about yourself that you and others know.

Blind Self

Information you don't know but others know about you.

Hidden Self

Information you know about yourself but others don't.

Unknown Self

Information about yourself that neither you or others know.

Of course, the only way of understanding our 'blind self' or spot is to ask for feedback and to do so regularly.

Questions for reflection

1. How regularly do you ask colleagues and managers for feedback?
2. How specific are you about the feedback you ask for? Asking colleagues for their views on your strengths and weaknesses can be less useful than asking them how you can improve on, for example, your presentation skills.
3. How open are you to the feedback you receive?
4. Are you as receptive to constructive feedback as to appreciative feedback?

This last point is very important as we frequently think about development as being about strengthening weaknesses or filling gaps. What, though if your development was as much about recognizing and building on strengths? This is exactly what the often quoted section from Nelson Mandela's inaugural address invites us to consider:

“Our deepest fear is not that we are inadequate.
Our deepest fear is that we are powerful beyond measure...
Your playing small does not serve the world.
There is nothing enlightened about shrinking
so that other people won't feel insecure around you” (2)

Questions for reflection

1. What are your strengths? Please make a note of up to five real strengths that you bring to your FTSU work.
2. How can you develop your strengths still further?

If you're unsure about your strengths then spend a few minutes jotting down the casual appreciations that you receive. What do these suggest about your strengths? What do people come to you for? Maybe even ask a few trusted colleagues how they see your stand out abilities, qualities and achievements. If you're intrigued by this perspective and would like to take it further then take a look at resource (3), below.

The other essential influence on your on-going professional development is the quality of your reflection.

Questions for reflection

1. What do you think reflection is?
2. How often do you make time to do it?

Reflection is the habit of observing yourself with both kindness and criticality. It is not mulling over something you wish you had said or done on the way home from work, regretting or wishing that things had been different. It is reviewing an event, observing your impact and recognizing how your behavior was influenced by events. At best, reflection doesn't simply increase your awareness but fundamentally benefits your ability to manage yourself well. (4)

Examples of the kinds of questions you might ask yourself when you want to reflect on an event include:

- a) What happened?
- b) How did my behavior contribute to what happened?
- c) What influenced my attitude and behavior?
- d) In the same circumstances, what would I want to do differently?
- e) How can I make sure that I do respond differently if this happens again?

To get yourself started with this, you might want to build some reflective time into your weekly schedule, maybe making a note in a special journal. Even building five minutes into the end of your day to ask yourself 'what went well

and how can I build on that tomorrow?' and 'what didn't go so well and how can I learn from this?' makes a real difference to your ability to take control of your own learning and development.

Useful resources:

1. Johari Window (1955), Jo Luft and Harrington Ingham
2. Williamson, M. (1992) *A Return to Love*. Harper Collins, London.
3. Video by [Marcus Buckingham on Knowing Your Strengths](#).
4. [HSJ article on the importance of reflective practice in Healthcare](#).
5. Video on [Facilitating Reflective Practice in Clinical Education](#) (2013).
6. [Open University on reflection](#).
7. Dye, V. (2011) 'Reflection, Reflection, Reflection. I'm thinking all the time, why do I need a theory or model of reflection?', in McGregor, D. and Cartwright, L. (ed.) *Developing Reflective Practice: A guide for beginning teachers*. Maidenhead: McGraw-Hill Education (pp. 19-37). To find, type the article heading into the search facility on the [OU website](#).
8. University of Cumbria material on [Gibbs' reflective cycle](#).
9. Smith, M. K. (2001, 2011). 'Donald Schön: learning, reflection and change', the encyclopedia of informal education.

Measuring effectiveness and impact: Development of measures/indicators of local FTSU culture /Data Handling/
 Assessment of the effectiveness of FTSU processes and activities/
 Demonstration of the impact that Speaking up is having

Some thinking about this competency

Before you begin to keep folders of information, it is important to stop and ask the question about what effectiveness means in the context of FTSU.

Of course, as a minimum you will need to align your records with the National Guardian’s Office request for information:

Questions for reflection

1. How will you know when you have developed an effective FTSU culture?
2. What will indicate that your FTSU culture is improving?
3. What kinds of information do you need to record so that you can see the patterns and trends that will confirm whether your culture is improving?

The number of cases raised to FTSUGs, champions, ambassadors etc in your trust <u>in total</u>
The number of cases raised anonymously
The number of issues with an element of patient safety/quality
The number of cases with an element of bullying/harassment
The number of cases where people indicate that they are suffering detriment as a result of speaking up

For example, you may want to record the following:

- the overall scale of FTSU activity, i.e. how many cases have been raised in what time period?
- the type of incidents which are being raised
- the staff groups that are speaking up
- where most cases are coming from by speciality. For example, are there more instances of speaking up in Accident and Emergency than in Paediatrics?

People speaking up
The number of cases raised by particular staff groups <i>Your return for this section should equal the total number of cases raised, given above.</i>

Feedback
The total number of responses you have had to the feedback question: <i>‘Given your experience, would you speak up again?’</i>
The number of these that responded
The <u>top three</u> most common themes to the feedback that you have received in response to the feedback question

Learning
A summary of the main learning points you have made over this quarter

During the Foundation Training, recording the following kinds of additional information was also suggested as each offers indirect information on your organisation context and culture, even where colleagues aren't directly approaching you:

- Number of cases raised
- Feedback on those cases raised
- Staff Survey results inc variation
- Bullying and Harassment Reports
- Grievances
- Serious Incidents
- Never events
- Issues raised to CQC
- Exit interviews
- Incident reporting
- Retention figures
- Suspensions
- Disciplinarys
- 'Some other substantial reason'
- Litigation

You might also find it useful to refer to the material on Types of Measures in the Improvement section on page 22. There are some important practical considerations about how you record the data you keep:

- You will need to make sure that you tag records of your cases in such a way as you can easily retrieve the information
- As people speak up to you, you will need to think about the process of collecting the information you need. What are the issue or issues, e.g. a case involving allegations of bullying may have an impact on patient safety or quality of care. You need to record the facts of the case clearly: times, dates, settings, witnesses, behaviours, confidentiality requested. Behind each statistic is a factual story. You need to think about how you give voice to the story with persuasive evidence that the matter is worthy of attention and action.
- Because your records will include sensitive, personal data you will need to meet the requirements of the Data Protection Act, 1998. For instance, the Act requires you to: ensure that the information you collect is limited to the specifically stated purposes of FTSU, is relevant and not excessive, is accurate, is not kept for longer than is necessary and is kept safe and secure with no assumption that anyone other than the FTSUG (even other Guardians or advocates in their network) can access that information. Although, contingency planning must also be considered.

Once you have addressed these practical issues, you will have some information that you can turn into data as the basis for your measurement of effectiveness.

Presenting your findings

The information you collect needs to be presented clearly so that patterns emerge over time. You will need to think about the best way to present a summary of your position, whilst being mindful about confidentiality, which will help you to draw the Board's attention to particular issues. Usually, tables, bar charts and pie charts are easiest to understand. For example, the following tables indicate different patterns of activity and themes:

Month	No of Contacts	Open	Closed	Anonymous	Off Site Meetings
September	1	1	1	0	0
October	9	4	5	0	7
November	8	6	2	0	2
December	4	2	3	0	TBA
TOTAL	22	12	10	0	9

Staff Group	Number	Trust Site	Numbers	Themes	Numbers
Domestic	4	XXXX	16	Patient Safety	3
Nursing	5	XXXX	4	Attitudes & Behaviours	14
Midwifery	5	XXXX	1	Staffing Levels	3
Medical	3	XXXX	1	Health & Safety	1
Management	3	XXXX	0	Other	1
Other	2	XXXX	0		

The resource at (1), on page 31, offers guidance on creating and presenting bar charts, graphs and pie charts.

Questions for reflection

1. Looking at the information in the tables above, how would you describe this pattern of activity to the Board?
2. To what extent would you see this as a positive or negative pattern?
3. What would you suggest the Board pay particular attention to?

Interpreting your data

It is important to appreciate that the data you present about the number of cases and their type is often ambiguous: high numbers could be a sign of good publicity and low numbers could mean the opposite. For this reason, you should be extremely cautious about any suggestions that matters are generally deteriorating or improving.

And you should take care that the data does not give a misleading impression. For example, if there are more reports from nursing staff than medical staff, is that because there are more of them? You should also think about how you report caseload. Is an increase due to more new cases or also due to an increase in the backlog of old, unresolved cases? Think about whether you report new cases separately from old cases, how long cases are taking to resolve and how to report outcomes. Think about the questions you will be asked about the data and provide a commentary in your report to answer them. Questions could include: Why are cases taking longer? Why are some cases resolved and others not?

Questions for reflection

1. What administration and security is required to manage your data efficiently and in line with the Data Protection Act, 1998 (e.g. password protection, encryption, agreements with individuals providing the evidence).
2. What is the purpose of my reports – am I reassuring the board that FTSU policy is being implemented well, am I asking them to make decisions?
3. How will I report caseload, timeliness, cases resolved, work in progress, cases not progressed?
4. How frequently will you present information so that you can see patterns and trends over time?
5. How will I ensure that I get feedback to make improvements?

Useful resources:

1. [Guidance from the Office of National Statistics on presenting information in tables, bar charts and graphs.](#)
2. National Freedom To Speak Up Guardian's Office Request for Information Form.
3. National Freedom to Speak Up Guardian's Guidance For FTSUGs: Recording Issues. January 2017.

Time management and prioritisation: Development and support of a Network of FTSU 'advocates/champions' (where appropriate)

Some thinking about this competency

We discussed networking in the earlier Partnerships and Relationship Management competency, specifically on page 19. Yet this area is linked but different as it's about how you develop a group of people around you, to help, support and promote your FTSU work.

Questions for reflection

1. How have you developed your network of advocates/champions?
2. What do you think your network is for?
3. How does your approach compare with other Guardians?

For some of us, our network will be friends and colleagues that we work most closely with and those we can speak openly to. Yet there are other criteria that you might usefully think about. We might be looking to involve colleagues who both care and can actively strengthen the Speaking Up culture and who:

- a) Already have an extensive network themselves
- b) Staff naturally seek out for support
- c) Are passionate about Speaking Up
- d) Have capacity to support you in your FTSU role
- e) Are influential within the organisation
- f) May be able to take over from you in the future

A well-known and amusing resource on building a network of support is included at (1), below.

Useful resources:

1. Derek Silvers 'Leadership Lessons from a Dancing Guy'.

Time management and prioritisation: Ability to manage/oversee multiple cases and own priorities

Some thinking about this competency

As part of the role of your FTSU 'advocates/champions' is to take on cases, you will need to be confident in overseeing colleagues' work. You will also need to juggle and manage potentially competing priorities so that you and your network achieve what matters most.

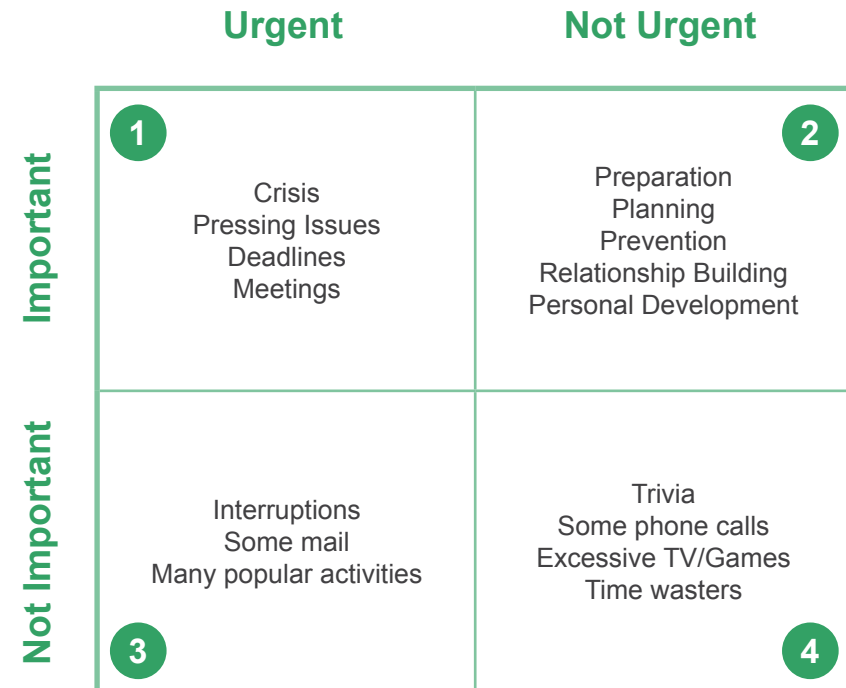
Questions for reflection

1. How do you prioritise your work now?
2. Being completely honest with yourself, what are your main time wasters? For example, do you take on too much, try to do everything yourself, struggle to say 'no' to a worthy request, find it difficult to bring conversations to a close, procrastinate, leave things until the last minute?
3. Having identified your time wasters, what will you do about them from now on?

Questions 2 and 3 are important because managing our own priorities isn't only about knowing what they are but also about staying focused on them even when we're busy with other things. Not managing our 'time wasters' with discipline is usually the main reason we get distracted.

The clearer our priorities are, the easier it is to stay on track. One of the best tools to help with prioritisation is Stephen Covey's importance/urgency table (where urgency tells you how quickly something needs to be done and importance is about how much it matters).

See if you can plot the work you have planned to do today on this:



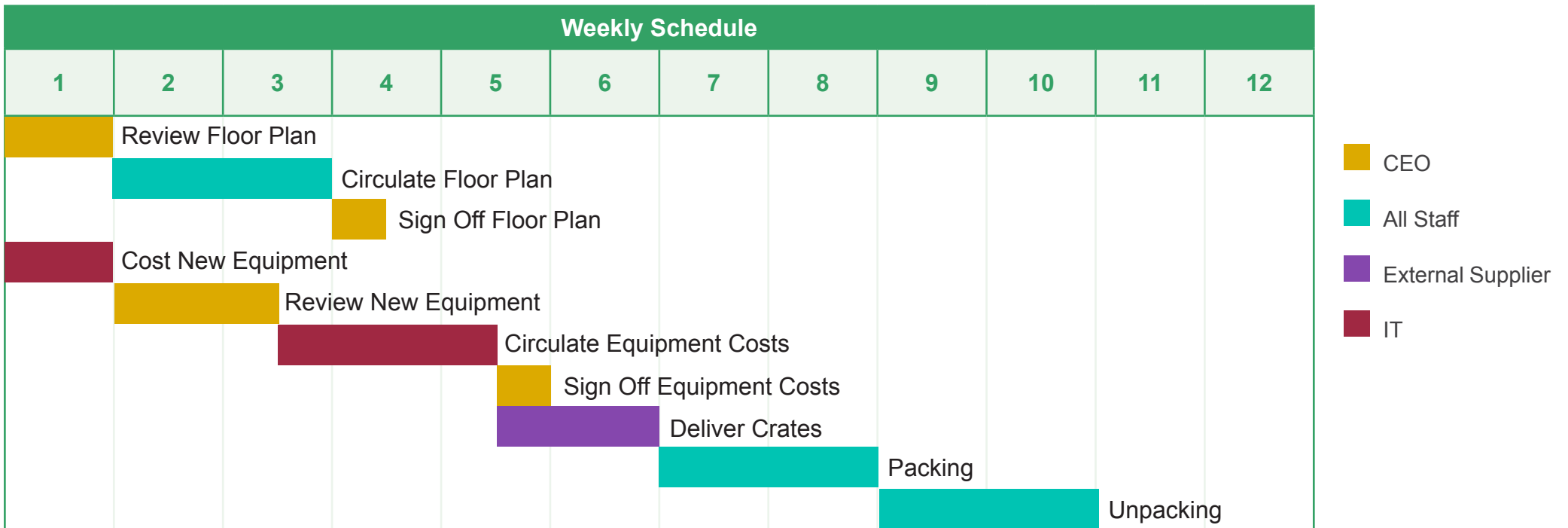
A few possible ways of using this include:

- Not putting something important off for so long that it becomes urgent (and then you don't have the time to do it as well as you'd like to).
- Being wary of other people giving you their 'urgent' business (always check out what 'urgent' means for them).
- Asking yourself what your top priorities are at the beginning of every day and then reviewing how you got on at the end of each day.

If you want to take this further, you might be interested in creating a time plan for yourself using something like a Weekly Schedule – there are plenty of templates available online if you google ‘time plan templates’. Creating something like this for yourself can really help you to stay on track and, better still, to see that you’re making progress when you are!

Weekly Schedule						
Date	Hours	Mon	Tues	Wed	Thurs	Fri

Planning time becomes even more important when you’re managing multiple pieces of work, especially if you’re supervising colleagues’ cases. One way of keeping on top of everything is to create a Gantt Chart (see reference 4, below), to help you and your colleagues know what needs to be done by when and how one piece of work effects another. An example of a Gantt Chart for an office move is shown below:



As well as managing time, overseeing multiple cases means that you'll need to supervise your colleagues' work. If you're interested in finding out how others approach this, you could meet with one of your Union Stewards to discuss how their Union Officers approach supervision with them. For example, the RCN produces detailed guidance for their Officers (at 5 and 6, below).

Questions for reflection

1. How do you feel about supervising colleagues' cases?
2. What do think effective supervision involves?
3. How will you manage any expectations of confidentiality around this?
4. Think of a time when you were supervised really well. What did your supervisor do and how can you do the same or similar?
5. What do you want colleagues to be saying about your case management?

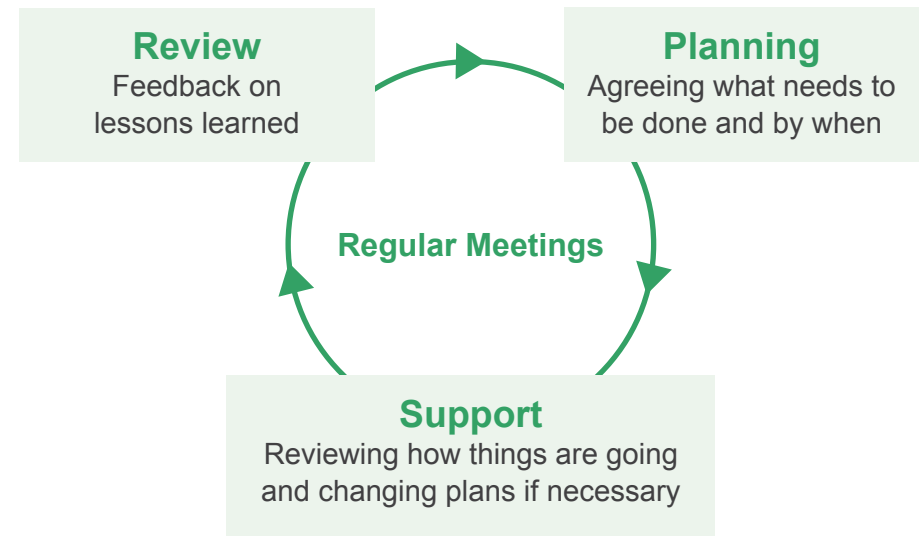
Whilst supervising cases doesn't make you a manager or leader, it does mean that you will be using some management and leadership skills. So, if you're not already in a management position then you'll get some really useful experience from supervising cases. The Social Care Institute for Excellence sees effective supervisors as:

“Those who have the requiredknowledge to assist supervisees in their work, provide emotional support and who have the qualities to develop positive working relationships”.

Offering effective case supervision will mean meeting each of your colleagues regularly (either individually or in small groups) to:

1. Plan the work (agree what needs to be done by whom and when)
2. Support progress with the work (review how things are going and revise plans if necessary)
3. Review lessons learned (both about the work and your colleagues' approach)

Ingredients of Effective Supervision



In addition to time management and reflective practice, the key skills you'll need to do this well include:

1. Goal setting (see resource 5 on delegation and 8 on goal setting, below)
2. Giving feedback (see resource 9, below and pages 161-163 of the Handling Challenging Conversations chapter, on page 44)

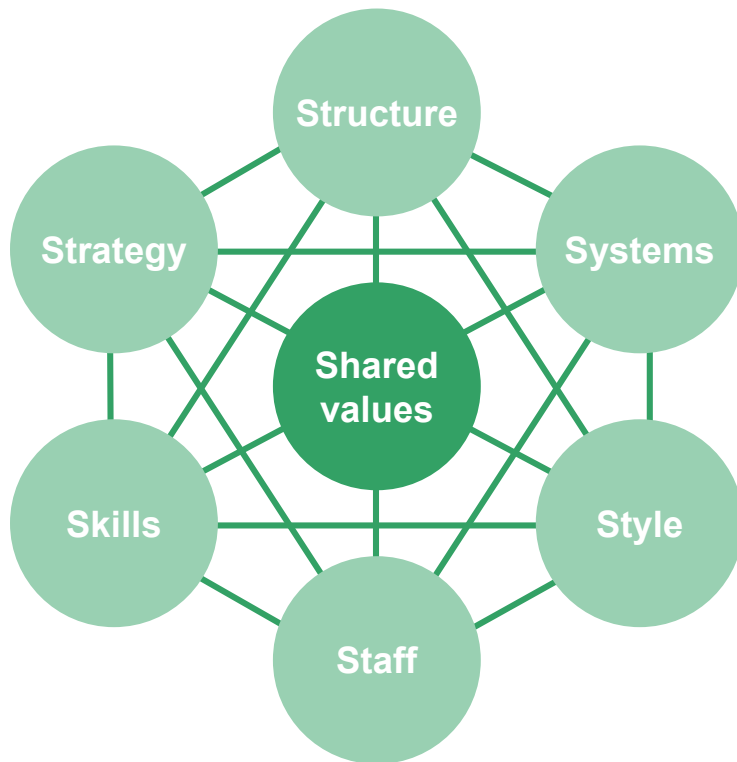
Useful resources:

1. [A guide to using Stephen Covey's time management quadrant.](#)
2. Covey, S. (1989) *The Seven Habits of Highly Effective People*.
3. Information from MindTools on [how to plan time effectively](#).
4. Information from MindTools on [Gantt Charts](#).
5. [RCN Guidance on Delegation and Accountability](#).
6. [RCN Guidance on Case Supervision](#).
7. [Guidance on effective supervision](#).
8. [Spark People on goal setting](#).
9. [London Deanery's guidelines on giving feedback](#).

Training and capability building: Assessment of the knowledge and capability of staff to speak up and to support others when they speak up

Some thinking about this competency

Another well-known perspective on culture change is the McKinsey 'Seven S' framework. Following this way of thinking (1), culture is made up of – and therefore can be changed – through the consistency between an organisation's values, strategy, structure, systems, staff, style and skills:



As one of these seven influences, developing the skills of your colleagues to be able to speak up and to support others when they speak up is essential. Of course, any skill requires the necessary knowledge (understanding what and why), supported by the right capability (being able to use knowledge in practice).

Questions for reflection

1. How would you describe staff knowledge and capability to speak up in your organisation?
2. What informs your view?
3. How can you assess the actual knowledge and capability level of your colleagues?
4. Who else can help you to make a confident and informed assessment of your colleagues' knowledge and capability?

As a FTSUG, you will have exceptional insight into the knowledge and capability of staff who have come to you for guidance. It will also be useful for you to work with your HR colleagues to assess capability. Not only will they have detailed views informed by their day-to-day work but they are also likely to have access to a Trust Learning and Development Needs Analysis, collation of appraisal data and access to the NHS Staff Survey results specifically around speaking up. Similarly, Union Representatives will be able to add a valuable perspective.

Questions for reflection

1. How well established are your relationships with your HR and Union colleagues?
2. How will you practically assess staff knowledge and capability?

The practicalities of assessing staff requires that you think about not only what you're assessing but also how you undertake it. So, do you have or could you develop a framework of Speaking Up knowledge and skills, similar to and informed by the Guardians' Competency Framework? If not, could you ask each staff colleague who comes to you for guidance what essential skills and knowledge they need to speak up? Alternatively, and to make your assessment inclusive and participative, could you hold a dedicated meeting to establish staff knowledge and capability?

Looking ahead to making the assessment easier in future years, might it be worth planning ahead with HR colleagues to include Speaking Up in staff appraisals, so integrating the conversation to make sure that there is regular focus on and reminder about staff responsibility to speak up?

Useful resources:

1. [Enduring Ideas: The 7-S Framework.](#)

Training and capability building: Taking action to ensure that all staff have the skills and knowledge they need to enable them to speak up effectively and to support others to do so

Some thinking about this competency

Once you've assessed skills and knowledge, you'll want to make sure that your colleagues know everything they need to know to be able to speak up effectively.

Questions for reflection

1. How frequently do you meet with HR and Union representatives to discuss developing staff speaking up skills and knowledge?
2. Are you discussing the quarterly data on speaking up that you're providing to the National Guardians' Office with HR and Communications colleagues?
3. How could you incorporate the messages behind this data into Trust training and communications to make sure Speaking Up is regularly in colleagues' minds?

Ensuring that staff know what they need to know requires good, regular communication and so it might be useful to consider:

- Writing a regular newsletter yourself; or
- Working with Communications colleagues to ensure there's a regular update in organisation wide staff communications
- Asking your senior leaders to refer to speaking up as part of their staff update
- Including frequent information in team briefs

Supporting staff to develop their speaking up *skills* will mostly be through organisational training and development. So, you could consider speaking to colleagues in Learning and Development about:

Questions for reflection

1. What kinds of training and development does the organisation currently offer?
2. How speaking up skills can be integrated into every organisational training programme. For example, how does and could speaking up skills be included in Leadership Programmes, Induction, Board Development, mandatory training?
3. Could you develop a tailored training resource specifically for speaking up?
4. How could you take Speaking Up training out of the training context and integrate it into, e.g., team meetings?

One perspective that may prove helpful when thinking about supporting colleagues to learn is the idea of Learning Styles and approaches – simply because some of us learn best from reading, others from watching, some from reflecting and others from having a go. If you're interested in this you can complete the questionnaire below and ask your colleagues to do so aswell.

Useful resources:

1. [Adam Galinsky, How To Speak Up For Yourself.](#)
2. [Honey and Mumford's online Learning Styles questionnaire.](#)

Working with senior leaders: Development of strong and open working relationships with senior leaders

Some thinking about this competency

Effective working relationships are critical to the provision of care quality. A recent Department of Health (2015) report states that “there are currently 211 CCGs, 158 Acute Trusts, 10 Ambulance Trusts and 31 Health and Care Trusts as part of the NHS Federation, as well as a myriad of other providers of care. The landscape of this Federation has become fragmented in terms of both the numbers and activities of Trusts; within many Trusts silo working is endemic. This means that any activity within a Trust is horizontally separated from the same activity in other Trusts and vertically separated from other activities in its home Trust”. Viewing the NHS from this perspective makes it more than ever apparent that patient experience relies on quality working relationships creating connections and continuity. In your role as a FTSUG this is particularly true of the relationships you develop with senior leaders if you are to successfully influence change. And whatever your substantive role, being a FTSUG means that you need to work closely with senior leaders:

“The Freedom to Speak Up Guardian will work alongside leadership teams to support the organisation in becoming a more open and transparent place to work, where all workers are actively encouraged and enabled to speak up and speaking up is seen as an opportunity to learn and improve”
(FTSUG Foundation Training)

Questions for reflection

1. How well do you build “quality working relationships” with senior leaders and what do you mean by “quality” in this context?
2. How would you describe the current quality of your working relationship with senior leaders?
3. How often do you meet your senior leaders individually or informally?

Very often, the challenge of building strong relationships with senior leaders results from the combination of a lack of informal contact, infrequent opportunities to meet and perceptions of difference. On this last, we know that inequalities directly and negatively affect patient care. This has been increasingly shown by the work of Dawson (2009, 2014), Kline (2014) and West et al (2011). The relevance here is that we need to accept that we all have differences, prejudices and biases and that understanding others’ perspectives helps us to work more positively together.

Questions for reflection

1. How like and unlike you do you perceive senior leaders to be? What effect does this have on how you relate to them?
2. What, if any, prejudices or biases do you have that might influence your relationships with senior leaders?
3. How do you think senior leaders would describe how similar and different they are from you?
4. What do you have in common with your senior leaders?

Perceptions of personal difference and distance are easily exaggerated by distinctions in role. As a Freedom to Speak Up Guardian, your role requires and mandates you to be independent and direct. Whilst this stance and behaviour may come easily to some Guardians, it will be a development goal for others. This is likely to be similar for your senior leaders, so understanding what their roles require of them is an important part of building empathic, strong and open working relationships. You can make a good start in understanding the role of the various leaders in your organisation by looking at resources 8, 9 and 11 in the resources section, on the next page.

Useful resources:

1. Department of Health (2015) Better Leadership for Tomorrow: NHS Leadership Review (The Rose Report), London: Department of Health.
2. Dawson, J. (2009) Does the Experience of Staff Working in the NHS Link to the Patient Experience of Care? An Analysis of Links between the 2007 Acute Trust Inpatient and NHS Staff Surveys. Birmingham: Institute for Health Services Effectiveness, Aston Business School.
3. Dawson, J. (2014) Staff Satisfaction and Organisational Performance: evidence from a longitudinal secondary analysis of the NHS staff survey and outcome data. Health Services and Delivery Research, 2(1), 336.
4. Kline, R. (2014) The 'Snowy White Peaks' of the NHS. London: Middlesex University.
5. West, M., Dawson, J., Admasachew, L. and Topakas, A., (2011) NHS Staff Management and Health Service Quality: Results from the NHS Staff Survey and Related Data. Birmingham: Aston Business School.
6. Video: [Royal Society of Arts on Unconscious Bias](#).
7. Video: [Yassim Abdel \(2014\) What does my headscarf mean to you](#). Courtesy TED.com recorded at TEDxSouthBank Sound 2012, under CC licence BY-NC-ND 3.0.
8. [Explanation of the difference between an Executive and a Non-Executive Board Director from A Ned on Board](#).
9. [Royal United Hospitals Bath Board Paper](#), 2014, explaining the role of the Non-Executive Director.
10. Video: [The Kings Fund \(2016\) An alternative guide to how the NHS is structured](#).
11. NHS Leadership Academy (2013) [The Healthy NHS Board](#).

Working with senior leaders: Production and presentation of reports to help senior leaders understand FTSU culture

Some thinking about this competency

Communicating by providing written reports to senior leaders is a real challenge for many of us, especially if we have no prior experience of writing Committee Papers or similar.

Questions for reflection

1. How many meetings of your senior leadership team have you been to?
2. How familiar are you with the way in which senior leadership meetings are conducted?
3. How can you attend senior leadership meetings to build confidence before you present your first paper?

Key to preparing a strong paper is your outline – a logical structure with easy signposts that enables the reader to follow the discussion to your intended conclusion. This means that you need to be clear about your intended impact and outcome and remain clear as you write; it is very easy to get carried away and write too much. To have maximum impact keep your report short and succinct – this will also save you time. If board members require clarification they can ask you questions when you present. As Mark Twain is quoted as saying, “I didn’t have the time to write a short letter, so I wrote a long one instead”!

Questions for reflection

1. How many papers have you seen and which did you consider the best? Why?
2. What do you want readers to say about your papers? How can you hold this impact in mind as you write?
3. Who could you ask to read your paper and give you feedback before you submit it?

Thinking about the organisational and individual priorities of your senior leadership as you write is also important. What are the issues you need to mention for your paper to be influential? For example, if the Chief Executive is motivated to achieve very tight financial targets then how will your paper support this?

Looking at examples of recent FTSUG Board Reports, the typical structure appears to be:

1. A summary sheet containing:

- g) The action requested/recommendation (i.e. whether the Board is being asked to take action or make a decision)
- h) A summary of the paper’s contents and how this relates to the Trusts’ strategic aims
- i) Implications for Equality and Diversity
- j) Reference to CQC outcomes
- k) Date of paper
- l) Version number of paper

2. The main body of the paper including:

- a) Introduction and background to the subject of the paper
- b) Detail on the subject of the paper including quantitative and qualitative information and case studies presented in a way that preserves the confidentiality of those speaking up
- c) Next steps
- d) Conclusions
- e) Recommendation
- f) Author, owner and date

There are a few best practice approaches to follow when preparing a paper for presentation. First is the need to turn data into information. The NHS is not short of data but this is infrequently turned into meaningful information that can be used as a rigorous basis for decision making. So, if you are presenting statistics then interpret them. Rather than simply putting a set of figures into a report, tell the reader what they say. For example, where your paper includes the number of cases raised monthly in your organisation, the senior leadership will find it helpful to understand if this is a lower or higher number than elsewhere. If offering multiple data sets, help the reader by indicating what they mean when taken together. If you don't do this then the Board will lack insight and may take an unexpected track in their questioning.

Second, as mentioned above, is a logical structure. There are several popular structures, the most current being:

- a) SBAR (situation, background, assessment, recommendation); and
- b) Issue (what's this about?), facts (give clarity to the issue), reasoning (the points you need to make about the issue and facts), recommendation (what you are asking for).

A third best practice approach is to find out as much as possible about your audience. The unique issue with Board presentations is that the Non-Executives perform what is called the 'challenge function', namely they bring their independent judgement, experience and critical detachment to question what is put before them. It is important not to take their challenge as a sign of disapproval or of criticism; they are simply doing their job. So, when you are asked 'what do we need to do to achieve this?', you need to be well prepared to offer solutions, describe the barriers and take the opportunity to deliver change.

Questions for reflection

1. How might you react to your paper being challenged? How can you ensure that you react openly rather than defensively?
2. How much do you really know about your senior leadership's perspective on your paper? What has been discussed before? Where do different members stand on the issues? What are their expectations?

Clearly, you will need to be on your toes for the meeting itself. Practise with a colleague, making sure you set out the structure of the presentation at the start, then cover the content, followed by summarizing your key messages and principle request. When questions follow, be prepared. If you do not know, say so and follow up with your answer after the meeting. Though appropriately challenging, members will usually not set out to trip you up, but if you are not prepared, you may trip yourself up. Carry out your own challenge in advance to be sure that you're receptive and responsive.

Useful resources:

1. Example NHSE Board Report which is the topic of discussion in the Board Meeting at (2): 'then read the [board paper](#) from which this table is taken'.
2. Example video of NHSE Board: [recording of the part of the board meeting where the paper was discussed](#).
3. [Australian Institute of Company Directors on writing effective Board reports using the "PACKO" principle](#).

Working with senior leaders: Holding senior leaders to account and challenging them to improve

Some thinking about this competency

Your ability to hold senior leaders to account and challenge them to improve is a legitimate part of your role as a Freedom to Speak Up Guardian; senior leaders are **expecting** you to do this. However, of course, that does not mean they will welcome your challenge or that they won't experience a natural human defensiveness when you present uncomfortable information. As Simon Sinek indicates in the resource mentioned below, you face the leadership dilemma of how to present difficult facts without the blame or judgement that produces shame but also without denying or diluting their seriousness. The additional characteristic here, though, is that you also need to influence or manage up.

If you do, then it's time to think differently about your power. French and Raven broaden the notion to include the power that comes from networks, knowledge, personality, expertise. Which do you enter the Board room with, even if you don't have equivalent seniority? Whose voice won't be heard unless you embolden your own?

Nonetheless, there is clear risk in giving potentially unwelcome news to more senior colleagues. As Heifetz (2009) describes, "getting an organization to ...change is not easy. You need to *confront loyalty to legacy practices* and understand that your desire to change them makes you the target of attack". So, how do you manage and mitigate this risk?

It helps to understand how to give feedback well, as this is essentially what you are doing at scale in the Boardroom. It also helps to remember what it feels like to receive feedback.

Questions for reflection

1. How do you see 'managing up'?
2. What is your typical experience of being in a group of more senior colleagues?
3. How do you behave when you're with more senior colleagues? In what ways is your behavior helpful and unhelpful to engaging senior colleagues?

Clearly, the way we see 'managing up' has a huge bearing on our approach and behavior. How would you behave, for example, if you fully accepted Kotter and Gabarro's (1990) definition that "managing up is mutual dependence between two fallible human beings"? Maybe this important reminder of our human equality would enable you to approach interactions with more senior colleagues with the authority, compassion and rigour that your role requires.

It can also be helpful to reflect on the power you have in your role as a FTSUG. Many of us have a very limited concept of power which is confined to seniority and position. If you go into a Board room with this notion of power in mind then it will usually be true that you have less of it, which makes many of us respond either relatively submissively or the opposite, aggressively. To what extent do you recognize this in yourself?

Questions for reflection

1. Think of a time you were given developmental feedback. How did it make you feel? To what extent did your reactions change over time?

When we receive unexpected or unwanted feedback, our reactions run through a series of predictable stages. We move from a feeling of shock, then maybe to anger and often to rejection. Only if we have time to reflect and come to terms with what's been said is there a good chance that we will move to a place of acknowledging the merits in the message (SARA). What this suggests, then, is that it is helpful to say what needs to be said and then to offer your colleagues some time to digest the information. To what extent do you do this as opposed to speed through the message hoping for no resistance?

Of course, it also helps if we offer our feedback with sensitivity and skill.

Questions for reflection

1. Again, think of a time when you were given developmental feedback with skill. How was it given? How will you apply this to your feedback conversations?

Most of us would say that difficult feedback is easier to hear when it is:

- a) Given with positive intent
- b) Specific and behavioural
- c) Connected to impact
- d) Constructive

Questions for reflection

1. If you apply these criteria to your feedback, how many do you meet? What do you need to do differently to ensure that they all are?

Giving feedback may be one of the more challenging conversations that you will need to handle. The resource below offers you some more ideas on how to approach them with skill. As conversations are only one aspect of how you go about influencing, there is also a separate resource on this. Both will require your resilience, which you can begin to think about with the on-line questionnaire.

Useful resources:

1. “[Managing Your Boss](#)” was written by Professors Emeriti John J. Gabarro, PhD, and John P. Kotter, PhD.
2. [Simon Sinek - Why good leaders make you feel safe.](#)
3. Heifetz, R. (2009) Leadership in a permanent crisis. HBR.
4. [French and Raven \(1959\) on power.](#)
5. [Robertson Cooper on-line resilience questionnaire.](#)
6. [Tamara Taggart - Two conversations that changed my life.](#)
7. Chapter on Courageous Conversations by Philippa Williams and Jamie Ripman from ‘How to be a Nurse Leader’, 2017, Wiley. Reproduced with kind permission from the publisher.
8. Google ‘Handling Challenging Conversations’ to find many more skill-building video resources on the subject.
9. Chapter on Influencing with Integrity by Louisa Hardman, from ‘How to be a Nurse Leader’, 2017, Wiley. Reproduced with kind permission from the publisher.

The table below allows you to identify which competency relates *particularly* well to important FTSUG personal qualities. Often there is more than one competency that expresses and so may develop an individual quality.

Competency								
Values	Communication	Partnership building and relationship management	Knowledge of the speaking up agenda and local systems	Driving continuous improvement	Time management and prioritisation	Measuring effectiveness and impact	Training and capability building	Working with senior leaders
Courage Speaking truthfully and challenging appropriately	*			*				*
Impartiality Remaining objective and unbiased	*	*				*	*	*
Empathy Listening well and acting with sensitivity	*	*						
Learning Seeking and providing feedback and looking for opportunities to improve	*	*		*	*	*	*	

Self-Assessment Tool

Competency	Typical skills	L1	L2	L3	L4	Notes/training needs
Communication						
Development and delivery of communication and engagement programmes	<ul style="list-style-type: none"> • Planning • Collaborative working with communication specialists to refine and disseminate messages • Development of resources to deliver and refresh messages • Presentation skills and ability to adapt style and approach depending on audience • Media training 					
Sensitive and supportive engagement with individuals, particularly those who find it difficult to speak up	<ul style="list-style-type: none"> • Visible and accessible to all staff • One to one communication skills and ability to listen, respond and question appropriately • Coaching and counselling • Able to anticipate change and understand personal impact on individuals • Mediation • Understanding of open/ confidential/ anonymous approaches and how to manage them 					

Partnership building and relationship management						
Knowledge of responsibilities related to safety and quality that teams and partners within and outwith the organisation hold	<ul style="list-style-type: none"> Partnership working and networking skills 					
Knowledge of the speaking up agenda and local systems						
Knowledge of local speaking up processes and sources of support and guidance, including escalation processes	<ul style="list-style-type: none"> Appropriate and effective triaging of issues Understanding of the trust policies and procedures to support staff speaking up Understanding of the Public Interest Disclosure Act 1998 					
Knowledge of wider FTSU developments, best practice, and direction from National Guardian Office	<ul style="list-style-type: none"> Maintains knowledge of current best practice policy and guidance on speaking up in large complex organisations 					
Knowledge of processes to escalate potential patient safety and quality issues	<ul style="list-style-type: none"> Understanding the range of professional duties for all registered staff groups 					
Knowledge of wider policy initiatives, and sources of additional support from other organisations, as well as those within individual organisations	<ul style="list-style-type: none"> Keeping abreast of developments Knowledge of the roles that other organisations play 					

Driving continuous improvement						
Review and improvement of FTSU guidance and processes	<ul style="list-style-type: none"> • Able to define strategic problems and choices and develop strategic action plans and policy development • Ability to invite feedback and ideas to drive improvement 					
Development of strategies and action plans to improve FTSU culture	<ul style="list-style-type: none"> • Awareness of some strategic analysis frameworks/approaches and models (e.g. SWOT, PESTEL, Pugh matrix, Pareto) • Planning 					
Awareness of, and reflection on, own skills and abilities and training needs	<ul style="list-style-type: none"> • Self-reflection and awareness • Knowledge of training and development options and opportunities • Commitment to learning improvement and personal development 					
Measuring effectiveness and impact						
Development of measures/ indicators of local FTSU culture	<ul style="list-style-type: none"> • Analysis and identification of trends from complex data 					
Assessment of the effectiveness of FTSU processes and activities	<ul style="list-style-type: none"> • Confident analysis and evaluation of various sources of evidence and feedback to support conclusions 					

Demonstration of the impact that speaking up is having	<ul style="list-style-type: none"> • Analysis and evaluation of information to evidence impact of actions and plans 					
Ensuring information and data are handled appropriately	<ul style="list-style-type: none"> • Knowledge and information management skills • Understanding and interpreting data, comfortable using quantitative and qualitative information • Maintaining confidentiality 					
Time management and prioritisation						
Development and support of a network of FTSU 'advocates/champions' [where appropriate]	<ul style="list-style-type: none"> • Management • Leadership skills • Ability to identify key staff groups internal and external to trust • Mentoring skills 					
Ability to manage/oversee multiple cases and own priorities	<ul style="list-style-type: none"> • Case management • Supervision 					
Training and capability building						
Assessment of the knowledge and capability of staff to speak up and to support others when they speak up	<ul style="list-style-type: none"> • Working with HR specialists to assess staff capability • Knowledge of and access to appropriate training and skill raising activities 					

<p>Taking action to ensure that all staff have the skills and knowledge they need to enable them to speak up effectively, and to support others to do so</p>	<ul style="list-style-type: none"> • Working with HR and Comms specialists to develop staff capability and raise awareness of good practice • Working with staff side/ Union representatives to promote good practice 					
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Working with senior leaders

<p>Development of strong and open working relationships with senior leaders</p>	<ul style="list-style-type: none"> • Relationship building • Communication skills • Demonstrable independence 					
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<p>Production and presentation of reports to help senior leaders understand FTSU culture</p>	<ul style="list-style-type: none"> • Report writing and understanding of effective communication methods • Presentation skills, adopting the right approach and medium for the audience • Strategy development 					
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<p>Holding senior leaders to account, challenging them, and supporting them in improvement</p>	<ul style="list-style-type: none"> • Relationship building • Communication skills • Resilience • Using influence effectively 					
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Priorities for improvement and next steps