**Case Review Referral Form**

*This form is for you to provide information to the National Guardian relating to a matter previously raised in a NHS trust that you think they should look into.*

*Please describe the nature of your referral in the boxes below. To help us to process your referral, please outline your case, providing all relevant details. If we require further information to process your referral we will contact you for this.*

*Please note that the National Guardian can look at how speaking up matters have been handled, but cannot investigate the merits of individual issues raised.*

|  |  |  |
| --- | --- | --- |
| 1. **Information about the referrer** | | |
| Your name: |  | |
| Name of NHS trust or body that your speaking up matter relates to: |  | |
| Your position/role at the time of the speaking up matter: |  | |
| Your current position/role, if any: |  | |
| Your contact details: | Phone: |  |
| Email: |  |
| Address: |  |
| Please indicate your preferred method of contact: |  | |

|  |  |
| --- | --- |
| 1. **Case Review Outcomes** | |
| Please briefly describe what outcomes you are seeking from a review of this case by the National Guardian: |  |

Please provide information about any help you have already received to speak up about your case in your organisation, from example from your Freedom to Speak Up Guardian

|  |  |
| --- | --- |
| 1. **Support to speak up in your organisation** | |
| Who did you ask to support you to speak up? |  |
| When did you ask them for support? |  |
| Please summarise what happened after you asked for this help |  |
| Is there anyone is the organisation whose help you would still like to speak up? |  |

Please provide some specific information in the boxes below regarding the case you wish to refer to the National Guardian.

|  |  |  |
| --- | --- | --- |
| 1. **Summary of the case you wish to be reviewed** | | |
| Where did the speaking up matter take place? |  | |
| When did it take place? |  | |
| Using the boxes please indicate why you think the National Guardian should review this case. You may tick multiple boxes: | The NHS worker who spoke up experienced detriment for doing so |  |
| The NHS trusts did not follow its own policies and procedures when responding to the speaking up matter |  |
| Actual harm was caused to patients, or there was a risk of such harm |  |
| Actual harm was caused to NHS workers, or there was a risk of such harm |  |
| The NHS trust did not take appropriate steps to address the speaking up matter |  |
| There was other serious wrongdoing not directly related to safety |  |
| Please provide a brief summary of the original speaking up matter, including relevant dates and information relating to actual, or risk of harm to patients or workers |  | |
| 1. **Failure to support speaking up:** | | |
| Using the different categories where appropriate, please explain why you think the response of the NHS trust to the matter was not supportive of speaking up: | 1. **Culture:** *Evidence of how the culture at the NHS service was not supportive of workers who wished to speak up.* | |
| 1. **Case Handling:** *Evidence of how**the trust did not appropriately respond to the matters raised, including any failures to follow the organisation’s policies or procedures.* | |
|  | 1. **Supporting good practice:** *Evidence of how the actions of the NHS trust’s response to speaking up was not in accordance with good practice.* | |
| 1. **Minority Groups:** *Evidence of how the response of the trust to matters raised by workers did not support the needs of minority groups in the workforce.* | |

|  |  |
| --- | --- |
| 1. **Identifying learning and improvement** | |
| The purpose of a case review is to identify learning and improvement. Using the same four categories, what improvements do you think the trust could make to its speaking up processes and culture? | 1. **Culture:** *How do you think the speaking up culture of the trust could be improved?* |
|  | 1. **Case handling:** *How do you think the trust could handle similar cases differently in the future?* |
|  | 1. **Supporting good practice:** *How do you think the trust could improve its support for good speaking up practice?* |
|  | 1. **Minority Groups:** *How do you think the trust could provide better support for minority staffing groups to speak up in the organisation?* |

|  |  |
| --- | --- |
| **Other reviews or investigations:** | |
| Has the speaking up matter been the subject of a review, investigation or legal process? |  |
| If yes, what was the reviewing, investigating or legal body involved and when did this occur? |  |
| If yes, give a brief description of the outcome |  |
| Is the matter the subject of a current investigation by the police or NHS Protect? |  |

**Privacy**

We will use your personal data in this referral form to assess whether your case meets our criteria to carry out a Case Review. We carry out Case Reviews to review how employers in the NHS have handled cases of speaking up, in order to identify learning and to recommend how this can be improved. These are tasks carried out in the public interest.

We will only usually share your personal data if you have given us your consent to do so and, where we have such consent, we share it with those persons or bodies whose role is to support individuals to speak up, for example Freedom to Speak Up Guardians. We may share your personal data without your consent only in exceptional circumstances where there is evidence of a need to protect individuals from the risk of serious harm, or from actual harm, for example with safeguarding authorities, or where required by law.

We retain personal data relating to any reviews we conduct for a total of 6 months from the date we publish our review report, unless there we believe a challenge to our review findings is likely, or there is any legal activity in relation to the review.

The National Guardian’s Office is hosted by the Care Quality Commission (CQC), which is the data controller for the purpose of data protection law, but we work independently and we will not share your personal data with CQC except under the circumstances described above.

You can find out more about how we process personal data, and about your rights, on the [Privacy Statement on our website](https://www.cqc.org.uk/national-guardians-office/content/national-guardians-office).

**Background information**

*You do not have to provide this information, but if you do, it will help us monitor the source of referrals that we receive.*

|  |  |
| --- | --- |
| **About you** | |
| **Gender:** | |
| Male |  |
| Female |  |
| **Age:** | |
| 16-20 |  |
| 21-30 |  |
| 31-40 |  |
| 41-50 |  |
| 51-65 |  |
| 66+ |  |

|  |  |
| --- | --- |
| **What is your ethnic background?** | |
| **White** | |
| British |  |
| Irish |  |
| Any other White |  |
| **Mixed** | |
| White and Black Caribbean |  |
| White and Black African |  |
| White and Asian |  |
| Any other mixed background |  |
| **Asian/Asian British** | |
| Indian |  |
| Pakistani |  |
| Bangladeshi |  |
| Any other Asian background |  |
| **Black/Black British** | |
| Caribbean |  |
| African |  |
| Any other Black background |  |
| **Chinese** |  |
| **Any other ethnic background**  *(please specify)* | |

|  |  |
| --- | --- |
| **Which of the following best describes how you think of yourself?** | |
| Heterosexual (straight) |  |
| Gay Man |  |
| Gay Woman (lesbian) |  |
| Bisexual |  |
| Other |  |
| I would prefer not to say |  |

|  |  |
| --- | --- |
| **What is your religion?** | |
| No religion |  |
| Christian |  |
| Buddhist |  |
| Hindu |  |
| Jewish |  |
| Muslim |  |
| Sikh |  |
| Any other religion *(please specify)* | |
| I would prefer not to say |  |

|  |
| --- |
| **Disability** |
| a. Do you have a long-standing illness, health problem or disability?  ***By long-standing, we mean that it has lasted, or will last, for at least 12 months***  Yes  No |

|  |  |
| --- | --- |
| **Office Use Only:** | |
| Decision/Option: |  |
| Reasons: |  |
| Notes: |  |