

28 May 2020

Skipton House
80 London Road
London SE1 6LH

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E: nhsi.enquiries@nhs.net
W: improvement.nhs.uk

██████████
By email
████████████████████████████████████████

Dear ██████████

Request under the Freedom of Information Act 2000 (the “FOI Act”)

We refer to your email of 28 April 2020 in which you requested information under the FOI Act from NHS Improvement. Since 1 April 2016, Monitor and the NHS Trust Development Authority have been operating as an integrated organisation known as NHS Improvement. For the purposes of this decision, NHS Improvement means Monitor and the TDA.

Your request

You made the following request:

“1. How many cases of whistleblowing have been raised with NHS Improvement in the following time periods:

March 2019

April 2019

March 2020

April 2020

If you are unable to give a specific monthly tally for March and/or April 2019, you may provide the total number for the year.

If you are unable to give a specific monthly tally for March and/or April 2020, you may provide the total number for the year to date.

2. Does NHS Improvement hold data about these cases in a spreadsheet or database? If so, please could you provide a list of the data fields – for clarity, this could include but is not limited to categories such as “type of complaint”, “status of complaint”, etc.

For each item on the list of data fields, please state if the value is to be filled in as a free text field, or a value selected from a drop-down menu. For each of the fields where a value is to be selected from a drop-down menu, please include the options from the drop-down menu.”

Decision

NHS Improvement holds the information you have requested and has decided to release all of the information it holds.

In relation to point 1 of your request, the following numbers of cases of whistleblowing were raised with NHS Improvement:

- March 2019: 7
- April 2019: 7
- March 2020: 14
- April 2020: 12

Please note that the above reflects the number of cases raised with NHS Improvement, in relation to secondary care. From 1 April 2019, NHS England and NHS Improvement have been working together as a new single organisation although NHS England, Monitor and the NHS Trust Development Authority remain separate legal entities, including for the purposes of the FOI Act. If you wish to request information relating to whistleblowing cases raised with NHS England in relation to primary care and clinical commissioning groups, please contact the NHS England FOI team <https://www.england.nhs.uk/contact-us/foi/>. Information on the roles of NHS England and NHS Improvement is available here: <https://improvement.nhs.uk/>.

In relation to point 2 of your request, NHS Improvement holds information about whistleblowing cases raised with it on a spreadsheet. The data fields in that spreadsheet are as follows:

Name: free text

Trust: free text

Region: free text

Date received: free text

Qualifying disclosure: free text

Theme: free text

Comms with individual: free text

Referral to CQC: free text

Enquiries to CQC: free text

Enquiries to Trust: free text

Advice: free text

Trust support – see support work tab for detail: free text

Investigation overseen by NHSI: free text

Well led review overseen by NHSI: free text

Regulatory action: free text

Reason for no enquiries: drop down with the following options: (i) insufficient detail; (ii) no permission to act; (iii) individual employment issue; (iv) historic - no current indicators of concern; (v) historic - issues being addressed; (vi) passed to CQC; (vii) region to monitor via PRM; (viii) signposted to FTSUG; (ix) signposted to SID; (x) not in our remit; (xi) Covid - being addressed at a national level.

Phase: dropdown with the following options: (i) clarifying concerns; (ii) initial assessment; (iii) on hold – Coronavirus; (iv) agreeing with region; (v) enquires to trust; (vi) waiting for CQC response; (vii) assessing trust response; (viii) investigation underway; (ix) giving trust support; (x) agreeing closure; (xi) communicating closure; (xii) closed.

Date closed: free text

Case handler: free text

Review rights

If you consider that your request for information has not been properly handled or if you are otherwise dissatisfied with the outcome of your request, you can try to resolve this informally with the person who dealt with your request. If you remain dissatisfied, you may seek an internal review within NHS Improvement of the issue or the decision. A senior member of NHS Improvement's staff, who has not previously been involved with your request, will undertake that review.

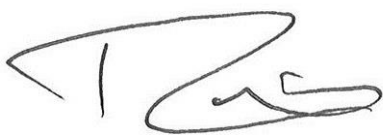
If you are dissatisfied with the outcome of any internal review, you may complain to the Information Commissioner for a decision on whether your request for information has been dealt with in accordance with the FOI Act.

A request for an internal review should be submitted in writing to FOI Request Reviews, NHS Improvement, Skipton House, 80 London Road, London SE1 6LH or by email to nhsi.foi@nhs.net.

Publication

Please note that this letter will shortly be published on our website. This is because information disclosed in accordance with the FOI Act is disclosed to the public at large. We will, of course, remove your personal information (e.g. your name and contact details) from the version of the letter published on our website to protect your personal information from general disclosure.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Tom Grimes', with a stylized flourish at the end.

Tom Grimes
Head of Advocacy & Learning (FTSU)