

[REDACTED]

From: [REDACTED]
Sent: 17 March 2021 11:07
To: [REDACTED]
Subject: RE: Culture review

Hi [REDACTED]
I've sent it to [REDACTED] our culture expert – she is flat out this week it seems and has promised me comments this evening, plus she's putting me in touch with the team that we are pulling together.

I've based the proposal on what we talked about and I need a couple of things I'm not sure about eg how to work out a cost, which is what I m hoping shell get to me this evening

Hopefully with [REDACTED] input I can get something to you tomorrow if that's ok?

BW
[REDACTED]

From: [REDACTED]
Sent: 17 March 2021 10:45
To: [REDACTED]
Subject: Culture review

Hi [REDACTED]
Just wondered if there was an update on providing your proposal?

Thanks

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]



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[REDACTED]

From: [REDACTED]
Sent: 23 March 2021 16:34
To: [REDACTED]
Subject: RE: Quick update
Attachments: HSIBdraftTG.docx

Hi [REDACTED]
I've attached a draft of the approach we are thinking of taking and your comments would be appreciated.

I have had a rough punt at the costings and it will be [REDACTED] **Section 43 (2)**, perhaps we can talk about what we would need to do to bring it **Section 43 (2)** if that's going to help you get it through the processes quickly.

The KF is on a framework and I'll let you know which one it is as soon as I've had confirmation. Will this be a matter of calling us off the framework or will you be looking for competitive tender- **Section 43 (2)**?

IF you have any immediate comments let me know and if it's actually in the right direction I'll set up a conversation with you and the team so that we can move things on

Speak soon

Kin regards

[REDACTED]

From: [REDACTED]
Sent: 23 March 2021 10:59
To: [REDACTED]
Subject: RE: Quick update

Hi [REDACTED]
Thanks. Can I check whether King's Fund are on any frameworks? I think you may be on the Knowledge Pool one that Capita run?

It will help to know from a procurement perspective.

Also, an early indication of whether it will be over £25K or not will be helpful.

Thanks

[REDACTED]

From: [REDACTED]
Sent: 23 March 2021 10:56
To: [REDACTED]
Subject: Quick update

Hi [REDACTED]
Quick update:

I've managed to get time in [REDACTED] diary today to go through the proposal in details there are some pieces of info that are needed that she is best placed to supply. (she and I both had conflicting time off)

We've got agreement on the team and they are ready to get going

I'll send through the draft after I've added [REDACTED] bits and then following your comments we can set up a briefing meeting so you can meet the team and we can outline the first steps

Speak soon and sorry this is taking more time that I had hoped to pull it together

Kind regards

[REDACTED]

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[REDACTED]

From: [REDACTED]
Sent: 29 March 2021 11:19
To: [REDACTED]
Subject: RE: Framework

Hi [REDACTED]
No problem and glad you got a chance to catch up with Aiden. Im meeting the team on Weds afternoon and so we can put something back to you hopefully as we go into Easter.
They had a couple of questions as a kick off:

- How many people are there working in HSIB?
- Do you have/ or would think of a culture or leadership framework in mind eg [Culture and Leadership Programme](#) (CLP) developed by TKF and NHSI is used in many foundation trusts
- Is there any internal to HSIB capacity and capability to support travel alongside the work so that it can be owned and embedded?

I hope you have a good week and Ill arrange for us all to meet on the 9th, can you remind me which time would be best for you?
Kind regards
[REDACTED]

From: [REDACTED]
Sent: 26 March 2021 18:40
To: [REDACTED]
Subject: RE: Framework

Hi [REDACTED]

Just to flag that it may be helpful for the ToR to split into sections, to recognise the milestones, as Aidan has just flagging with me that HSIB may want to use MerseyCare NHS Trust to do the actual support/improvement element. However, I still think that's worth including in the ToR.

BW
[REDACTED]

From: [REDACTED]
Sent: 25 March 2021 11:27
To: [REDACTED]
Subject: RE: Framework

Sorry, I misread the email
I can do most of tomorrow morning and so let me know what time works for you
BW
[REDACTED]

From: [REDACTED]
Sent: 24 March 2021 19:36
To: [REDACTED]
Subject: RE: Framework

Hi [REDACTED]

Sorry, I meant tomorrow morning or Friday morning. I can't do tomorrow PM, unless it's 5pm.

BW

█

From: █
Sent: 24 March 2021 19:06
To: █
Subject: RE: Framework

Yep no problem. I could do tomorrow at 2pm if that's any good?

█

From: █
Sent: 24 March 2021 17:26
To: █
Subject: RE: Framework

Hi █

Thanks, I have had a look through. Please can we have a call to discuss – does tomorrow or Friday morning work?

BW

█

From: █
Sent: 23 March 2021 17:23
To: █
Subject: Framework

Hi █
...and the framework info

KnowledgePool (framework via Capita)
<https://ldsuppliers.knowledgepool.com/>

Kind regards

█

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[REDACTED]

From: [REDACTED]
Sent: 31 March 2021 17:20
To: [REDACTED]
Subject: RE: Framework

Hello [REDACTED]

I've just finished my first meeting with the team and I was very impressed and I think they will do a really good job, some phenomenal expertise

I've got some more work to do on the ToR now I've spoken to them and a better shape to the proposal.

It's looking like a 3/6 month piece of work to do it justice and the 3/6 apparently depends somewhat on the organisation responsiveness. They have found that admin and comms support from the organisation makes things go along most smoothly.

I really like the approach they are proposing, which I'll spell out in the proposal and ToR but in summary:

- Principal of co-creation and development all the way through to the final themes and balance of recommendations
- A recognised model for culture review, tailored to the HSIB and operating in the background so that the model doesn't determine/box in the discussion (hope I've explained this well enough)
- Using data and intelligence, such as FTSU etc as context but not assessing the policies etc against best practice, which would be a bit more governance, but understanding the application of the policies – or not
- In terms of sequencing and connection back to the transition to the independent body, that this piece of work needs to be done first, so that the culture doesn't get mixed with the transition politics and insecurities that might arise, and would be a good golden thread to support transition describing themes and actions that would take them to the to-be culture.

A few other bits and pieces:

I could do with talking to Aiden and the sponsor from DHSC to make sure that we agree, if that's ok is there any chance you could give me contacts?

How would you like to manage [REDACTED] interaction and leadership in this? Should we set up a meeting with the three of us, would you like him to be part of the meeting of the 9th, or other?

Have you an org chart and a view of the no of permanent people in post and agency if there are any?

I'll focus on this tomorrow and get you something as soon as I can – ToR and developed but not finalised offer

And most importantly what time can you do on the 9th?

BW
[REDACTED]

From: [REDACTED]
Sent: 26 March 2021 18:40
To: [REDACTED]
Subject: RE: Framework

Hi [REDACTED]

Just to flag that it may be helpful for the ToR to split into sections, to recognise the milestones, as Aidan has just flagging with me that HSIB may want to use MerseyCare NHS Trust to do the actual support/improvement element. However, I still think that's worth including in the ToR.

BW

[REDACTED]

From: [REDACTED]
Sent: 25 March 2021 11:27
To: [REDACTED]
Subject: RE: Framework

Sorry, I misread the email
I can do most of tomorrow morning and so let me know what time works for you

BW

[REDACTED]

From: [REDACTED]
Sent: 24 March 2021 19:36
To: [REDACTED]
Subject: RE: Framework

Hi [REDACTED]

Sorry, I meant tomorrow morning or Friday morning. I can't do tomorrow PM, unless it's 5pm.

BW

[REDACTED]

From: [REDACTED]
Sent: 24 March 2021 19:06
To: [REDACTED]
Subject: RE: Framework

Yep no problem. I could do tomorrow at 2pm if that's any good?

[REDACTED]

From: [REDACTED]
Sent: 24 March 2021 17:26
To: [REDACTED]
Subject: RE: Framework

Hi [REDACTED]

Thanks, I have had a look through. Please can we have a call to discuss – does tomorrow or Friday morning work?

BW

[REDACTED]

From: [REDACTED]
Sent: 23 March 2021 17:23

To: [REDACTED]

Subject: Framework

Hi [REDACTED]

...and the framework info

KnowledgePool (framework via Capita)

<https://ldsuppliers.knowledgepool.com/>

Kind regards

[REDACTED]

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[REDACTED]

From: [REDACTED]
Sent: 06 April 2021 18:23
To: [REDACTED]
Subject: Update
Attachments: HSIBdraftTG.docx; ToRHSIB.docx

Hi [REDACTED]
I hope all is well with you and that you had a good easter.

Ive attached two documents, that are work in progress for you to have a look at. An updated version of the proposal – the days needed still need some work but I hope you get the gist of where we are going plus some ToR for you to look at.

Its proving practically impossible to get all of the team together this week with you because of the school holiday, but it you can let me know when you are free we can certainly catch up and then you can meet the team after that

Hopefully speak to you soon

Kind regards

[REDACTED]

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[REDACTED]

From: [REDACTED]
Sent: 07 April 2021 10:08
To: [REDACTED]
Subject: RE: Update

No problem
Its moving along and Thursday 2-3 works for me. I'm talking to Aidan at 1 – so that might work out nicely

Ill send an invite
Speak tomorrow
[REDACTED]

From: [REDACTED]
Sent: 06 April 2021 18:49
To: [REDACTED]
Subject: RE: Update

Hi [REDACTED]

Thanks, and sorry for not responding to your email last week.

I understand you've made contact with Aidan – I spoke to him today.

I'll have a look at the ToR. Thursday morning (before 11) or afternoon (2-3 or after 3.30) good for a catch up?

[REDACTED]

From: [REDACTED]
Sent: 06 April 2021 18:23
To: [REDACTED]
Subject: Update

Hi [REDACTED]

I hope all is well with you and that you had a good easter.

Ive attached two documents, that are work in progress for you to have a look at. An updated version of the proposal – the days needed still need some work but I hope you get the gist of where we are going plus some ToR for you to look at.

Its proving practically impossible to get all of the team together this week with you because of the school holiday, but if you can let me know when you are free we can certainly catch up and then you can meet the team after that

Hopefully speak to you soon

Kind regards
[REDACTED]

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[REDACTED]

From: [REDACTED]
Sent: 20 April 2021 18:23
To: [REDACTED]
Cc: [REDACTED]
Subject: RE: Connecting you

Hi [REDACTED]
Busy day today. Ill give you a call tomorrow morning if that works for you?
Kind regards
[REDACTED]

From: [REDACTED]
Sent: 20 April 2021 15:32
To: [REDACTED]
Cc: [REDACTED]
Subject: RE: Connecting you

Thanks [REDACTED]

Hello [REDACTED]

Please could you give me a call on [REDACTED] to discuss next steps in terms of your support to HSIB.

Kind regards,
[REDACTED]

[REDACTED]

[REDACTED]

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From: [REDACTED]
Sent: 20 April 2021 14:15
To: [REDACTED]

Cc: [REDACTED]

Hi [REDACTED]

Can I connect you with [REDACTED] who is handling the procurement side of things for HSIB. I believe he wants to discuss contracts.

Thanks

Age Group	Gender	Vaccinated (%)
18-24	Male	~5
18-24	Female	~5
25-34	Male	~10
25-34	Female	~10
35-44	Male	~15
35-44	Female	~15
45-54	Male	~45
45-54	Female	~40
55-64	Male	~45
55-64	Female	~45
65-74	Male	~20
65-74	Female	~20
75-84	Male	~30
75-84	Female	~70
85+	Male	~100
85+	Female	~100



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[REDACTED]

From: [REDACTED]
Sent: 28 April 2021 17:21
To: [REDACTED]
Subject: quick update
Attachments: HSIB proposal April 2021.pdf

Hi [REDACTED]
I hope all is well with you.

I believe everything is on track with the proposal and the framework and [REDACTED] has been a great help. The team is in place and ready to go and so I thought now might be a good time for me to talk to [REDACTED] about the approach and his involvement etc. and so could you put me in touch with him so that we can make contact?

We thought the next few steps look like this:

- I talk to [REDACTED] first of all and talk through the philosophy of our engagement particularly the build-with approach
- We draft initial coms with HSIB to go out to the organization about the same time as we arrange to attend one of their senior team meetings so that we can introduce our selves and they can shape the first coms with us
- We will be doing prep work in the back ground.
- Hold a kick off steering group meeting

Let me know how much of this would you like to be involved with so that I can include you in any or all or non of the meetings; or is there anything you would like to add and we can arrange a call if it would help to talk?

Best wishes

[REDACTED]

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[REDACTED]

From: [REDACTED]
Sent: 15 June 2021 12:38
To: [REDACTED]
Subject: RE: Quick Summary of our Meeting Today

Follow Up Flag: Follow up
Flag Status: Flagged

Thanks [REDACTED] that works fine and will be putting out the comms shortly.

Best,

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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From: [REDACTED]
Sent: 14 June 2021 16:11
To: [REDACTED]
Cc: [REDACTED]
Subject: RE: Quick Summary of our Meeting Today

Hi [REDACTED]

Please feel free to use the bios provided in the attached proposal, pages 9-11.

If you'd like them re-formatted in any way, do let me know.

Best wishes,

[REDACTED]

[REDACTED]

From: [REDACTED]
Sent: 14 June 2021 15:57
To: [REDACTED]
Cc: [REDACTED]
Subject: RE: Quick Summary of our Meeting Today

Thanks [REDACTED] I think that is an excellent summary.

One thing I notice on the draft joint comms message was the suggestion that your bios would be included. Might it be possible to send those through so I can attach to the rest of the message?

Many thanks,

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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From: [REDACTED]
Sent: 14 June 2021 14:53
To: [REDACTED]
Cc: [REDACTED]
Subject: Quick Summary of our Meeting Today

Hello All,

It was wonderful for [REDACTED] and I to meet you today, with [REDACTED] We heard your commitment to this project and your own and the organisational desire for things to be different.

As an aide memoir we spoke about:

- Fortnightly time on Wednesday mornings to be diarised so we have regular time to discuss what we are noticing, make sense of what we are noticing together, discuss what you can immediately experiment with to make improvements, contain uncertainty and bringing safety to staff through regular communications planning.
- The steering group will contain senior stakeholders who [REDACTED] can help us identify and we will add the staff engagement lead and two freedom to speak up guardians; we need to begin forming this group and decide on when they will meet.
- The comms to the organisation can go as soon as cleared to inform staff.
- We meet all staff on 29th June at the staff forum (already diarised).
- We can arrange interviews with senior staff and stakeholders now, again [REDACTED] can help to identify who and to share an org chart with us.
- We can send out the survey after 29th June to all staff.
- Containing anxiety with regular communication with staff is going to be very important.
- You would love the organisation to be able to understand the different cultures and people within it and approach working with each other with kindness, inquiry not judgement, working to the values investigations are undertaken with and which healthcare environments are asked to adhere to, as a measure of success.

We are so looking forward to working with you and really glad to have met you today. We will be in touch with Julia to action the above and get the ball rolling!

Many Thanks

[REDACTED]

Kind Regards

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

From: Executive Office <ExecutiveOffice@hsib.org.uk>
Sent: 02 July 2021 13:50
To: HSIB
Cc: [REDACTED]
Subject: The King's Fund - Terms of Reference
Attachments: 7 Terms of reference for the Inquiry.pdf

Importance: High

Dear all

Thanks to those of you that joined the all staff meeting earlier this week about the culture inquiry and development work we are embarking on. We hope it gave you some useful information about our intended approach, as well as a sense of us and how we'd like to support you to transition with the healthiest culture possible as you move to independence.

It has been very helpful for us to hear your questions, concerns and feedback during and since.

Specifically, we have heard:

- **A request to share the Terms of Reference and explain how they came about.** These were drawn up by The Kings Fund, with comment from the NHSE/I Freedom to Speak Up Guardian, and are attached for your reference.
- **A request for more than 2 weeks to complete the survey, and inclusion of an open text option.** We will ensure both of these.
- **A concern that focus groups won't provide a safe enough space for everyone to speak openly, and that the emphasis and selection of those approached for a 121 interview needs to be broader to ensure everyone that wants to can have their voice heard.** We are reworking our approach in light of this and will be in touch very soon to confirm a way forward that will expand the number of 121s undertaken. We will create a process that allows you to self-nominate directly with us for a 121. We have to work in the confines of resource and it won't be possible for every person in the organisation to have a 121 but we will do all we can to provide ways to speak safely for you, to ensure we have good insight into HSIB culture across the organisation.
- **A question regarding the level of independence of the work, and concern that it appears to be managed via the Executive office.** At present we are reliant on Julia to share our communications as the paperwork to share information is being processed. We are working to have that paperwork in place to allow us to be in touch directly with you all as soon as possible. You are welcome to contact us at any time, our emails are copied in to this email. We are working to the Terms of Reference and are developing a Steering Group including internal staff body and external representation to guide and challenge the work, and will share more information on that shortly.
- **A desire for a commitment to share the resulting report.** We commit that the written record of this work produced by The Kings Fund will be shared with you. It may not be in report format but you will be able to see what we produce. The key findings of the data gathering stage of the process will also be played back to you to inform the future focussed stage.

We hope this goes someway to reassure you of our commitment to undertake a process that works for you, and offers an appropriate vehicle for gathering an accurate picture of HSIB culture. Thank you once again for your active engagement.

With best wishes

[REDACTED]
on behalf of The Kings Fund

Out of Scope

From: FOWLER, Aidan (NHS ENGLAND & NHS IMPROVEMENT - T1520)
Sent: 22 December 2021 12:13
To: [REDACTED]
Cc: [REDACTED]
Subject: RE: HSIB Steering Group

I have attached comments. **Section 36**

I hope the attached comments are visible and helpful. Aidan

From: [REDACTED]
Sent: 20 December 2021 13:16
To: [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
Subject: RE: HSIB Steering Group

Dear All
I have attached a draft copy of the report before tomorrows meeting. As this is draft can we ask that it is absolutely not shared any more widely and look forward to speaking to you all tomorrow
Kind regards

-----Original Appointment-----

From: [REDACTED]
Sent: 16 December 2021 10:19
To: [REDACTED]
[REDACTED]
[REDACTED]
Subject: HSIB Steering Group

When: 21 December 2021 08:30-09:30 (UTC+00:00) Dublin, Edinburgh, Lisbon, London.

Where: Microsoft Teams Meeting

Agenda for meeting (minutes of the last meeting attached):

1. Welcome and minutes of the last meeting
2. Feedback from staff reps:
3. To receive the draft report from the King's Fund:
 - Support for the recommendations
4. Oversight of the recommendations and next steps

A draft copy of the report will be sent on Monday.

Microsoft Teams meeting

Join on your computer or mobile app

[Click here to join the meeting](#)

press *6 to mute/unmute your phone when joining by phone

[Learn More](#) | [Meeting options](#)

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NHS Improvement – Proposal for NHIB Cultural and Leadership Development Review

A proposal from The King's Fund

April 2021

1. Introduction

The King's Fund is delighted to be invited to undertake a bespoke cultural and leadership development inquiry and review. This document outlines our proposed approach to this intervention and sets out associated resource implications for your consideration.

2. Our understanding of your requirement

2.1 Background

The HSIB conducts independent investigations of patient safety concerns in NHS-funded care across England. With an emphasis on investigating process rather than people, that have or may cause harm, and then make recommendations for improvement.

The team is made primarily of investigators and analysts with a background in healthcare, other safety critical industries and are well trained and informed by international and national expertise.

The team carry out two forms of investigation:

- National investigations that cover any patient safety concern after 2017. They carefully select areas to focus upon based upon analysis and the extent of the risk or harm as well as public confidence. These investigations result in a report that makes recommendations to organisations (response in 90 days) for preventing future similar events or observations for wider learning and improvement. There may be immediate actions required as part of the investigation to protect patient safety.
- Maternity investigations that cover all investigations that meet the criteria in the Each Baby Counts programme. For these incidents the Trust informs the HSIB and their investigation replaces the local investigation. The Trust is responsible for the actions identified as part of the investigation.

At the moment the organisation is funded by DHSC and hosted by NHSE/I and it is on a path to becoming fully independent following appropriate legislative changes – expected April 2022. Part of this journey is to commit and demonstrate a no-blame approach with a safe-space for participants including patients, families and staff sharing information.

2.2 Your requirement

This leads to two inquiry strands for the work you wish to commission:

1. How is the current culture understood and experienced within the organisation and to consider how the leadership contributes to this?
2. To give regard to the culture and leadership needed for success as the organisation moves to its independent state.

At an appropriate point during the review, we will consider together the themes emerging from the data and co-create recommendations and priorities to specifically support development of the culture and leadership needed during the transition and into steady state independence.

3 Our response

3.1 The King's Fund

The King's Fund is an independent charity working to improve health and care in England. We help to shape policy and practice through research and analysis; develop individuals, teams and organisations; promote understanding of the health and social care system; and bring people together to learn, share knowledge and debate. Our vision is for the best possible care available to all.

We work with individuals, teams and organisations from across the health and care system to improve performance and support the delivery of high-quality care. We carry out research and analysis to shape the way that people think about leadership and culture in the NHS.

Our work is informed by front line experience. We support a range of learning networks and communities of practice, working in real time with current challenges. As such we have a unique insight into the issues of digitisation, pay, retention, international recruitment, skill mix and training, and have participated in the modelling of professions such as nursing, to understand the implications for change in the future.

3.2 Current research to inform your assignment

The King's Fund holds a portfolio of research in health policy, leadership, innovation and change that can be drawn upon to inform the scope and structure of the inquiry and review. Recent examples include:

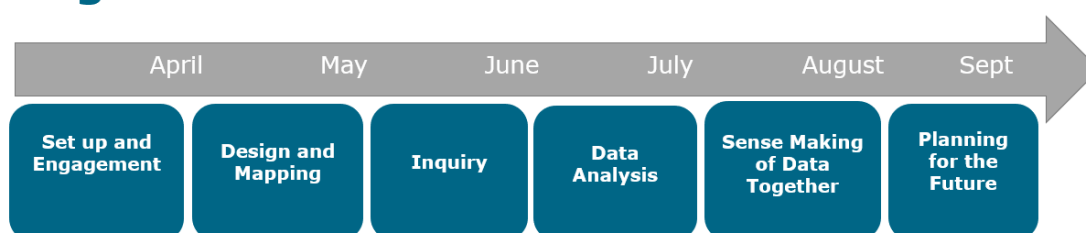
Leadership of health and social care during Covid-19 - Commissioned in 2020 by Health and Care Scotland, this report used semi-structured interviews with a cohort of senior leaders in Scotland to understand their experiences of leadership during the pandemic. Interview data were synthesized into an independent report and actionable learning points for the commissioners of the report to consider.

Inquiry into HR/Workforce Directors' Development - Commissioned in 2019 by NHS Improvement to understand perspectives on the needs of senior HR and workforce leads in NHS organizations, this study used a combination of semi-structured interviews, semi-structured round table discussions, and deep dives to inform thinking about development for this group. The emerging findings were tested in workshops with key stakeholders.

4 Methodology and approach

To meet your objectives, we propose a review comprising the following components. The approach will be an inquiry-based approach to surface what people value and what people want to change. This will build into what HSIB wants and needs for transition and into the future. Some components will be run in parallel. Milestone check-ins with the HSIB steering group will work to inform the approach to the next phase. The overall approach would be as follows.

High Level Plan



Part of the parallel process in our methodology will be both co-created with you and planned. Our structure will respond to context and our approach will be informed by cultural models, for example Human System Dynamics and Burke-Litwin. A combination of these models allow the benefits that structure brings, whilst leaving room for complexity and emergence.

4.1 Project Stages

Set up and Engagement

- Finalise scope, objectives, roles
- Agree data analysis methodology, outputs and approach
- Establish senior stakeholders' roles, engagement and comms

Design and Mapping

- Set up and contract with wider stakeholder group
- Map data volume
- Plan data analysis
- Design surveys and semi structured interviews
- Diarise placeholders

Inquiry

- Undertake survey
- Run inquiry groups and interviews
- Review of existing information
- Inquiry into ideal culture for transition and independence

Data Analysis

- Organising data
- Theming of data
- Frequency analysis
- Triangulate with existing data
- Provide data analysis in an appropriate format

Sense Making of Data Together

- Discuss patterns, consider themes and make meaning
- Consider how to involve other stakeholders in sense making and undertake this activity

Planning for the Future

- Co-create priorities to support development of the culture and leadership for success
- Plan how to undertake change

4.2 Notes on some important parts of this work

4.2.1 Survey

To undertake an electronic survey to achieve maximum reach within the HSIB workforce.

To understand the current culture and enable you to benchmark this against the stated values and behaviours. The range of questions would be informed by undertaking a sample set of interviews, plus our understanding of the HSIB context.

The success of the survey is dependent on the connection to and communication with the respondents. We assume NHSI will provide the information needed to create the sample of respondents. We would be pleased to work with you on its communication and positioning to attract the best response rate possible.

4.2.3 Inquiry

To undertake a process of inquiry with a representative sample of the HSIB employees and key stakeholders (exploratory re-evaluation of what is known and generation of something new). This methodology serves to enable the organisation to establish what is experienced as the culture at the moment and gain new understanding together, of what would be ideal as the organisation

prepares itself for independence. Drawing from the data provided by the survey to inform the inquiry base, it could take a number of forms:

- ***Semi-structured interviews with a sample of key stakeholders including:*** Executives of Trusts having experienced an HSIB inquiry, DHSC sponsor and stakeholders; NHSE/I sponsor. We will agree a schedule of interview questions in advance of the interviews. We suggest c 2 days of interviews.
- ***A semi-structured round table discussion with a representative set of stakeholders.*** This would be future focused and consider the culture and leadership approach that would best support the new and independent role of the HSIB hosting.
- ***Review of current information.*** To triangulate the information from the interviews, have a review of intelligence from information available and the organisations response to this information e.g. staff survey, FTSU, previous reports.
- ***Staff interviews*** with existing staff singularly or in groups within a safe space to share their experience of the current culture and leadership and what they might hope for the future.

4.2.4 Co-creation of a plan for the future

- ***Sense Making of Data.*** Together, with the senior leadership, sponsors and a cross-section of staff and key contributors to discuss patterns, consider themes and make meaning leading to the co creation of priorities to support development of the culture and leadership for success.
- ***Planning for the Future.*** This may include a plan how to bring about change addressing what support would be needed to move the organisation into the next phase. This may be an important workstream in any transition plan and the place and need for a plan at this phase would need to be considered in that light.

4.3 Project management and risk

The King's Fund's project management approach aims to support all project work to be managed consistently and according to agreed standards of quality, cost, time and scope. Incorporating many of the key principles of the PRINCE2 methodology, our approach is flexible and scalable, using the size of the project and the type of work to determine which management tasks can be tailored and which are mandatory. Before delivery begins, we ensure we have considered and determined our activities, the resources required, the outputs and outcomes, and that this is captured in approved KF project documentation templates.

4.3.1 Managing Risk

Risks (opportunities and threats) are identified, assessed and prioritised at the outset of the project and recorded in a project risk register. Appropriate mitigating actions to control risks (minimizing the likelihood or impact of threats or maximising the realisation of opportunities) are agreed and recorded. Risks are monitored throughout the project with issues being raised and escalated appropriately and the risk register updated accordingly and reviewed regularly.

4.3.2 Logistics

- **Platform.** Zoom is our preferred platform for group events due to the functionality it offers. We will set these up and send out invitations to the participants for the meetings. We can provide guidance for using Zoom and are also able to help resolve simple technical issues. All other meetings can be conducted on MS Teams or on Zoom.
- **Programme co-ordination.** We will be able to organise booking systems for interviews and focus groups, and administration of the survey, but we will coordinate with you to identify stakeholders and staff.
- **Data protection.** The King's Fund complies with the Data Protection Act 2018, UK GDPR, and the Privacy and Electronic Communications (EC Directive) Regulations 2003 and all other applicable data protection legislation. The King's Fund has in place appropriate technical and organisational measures against unauthorised or unlawful processing of any personal data. This includes measures to protect against accidental loss, alteration, or destruction of, or damage to, the personal data, and to ensure the security of such data at all times. Please see Appendix C for a full list of the information governance measures that are in place.

For the purposes of this work, the HSIB would be the data controller and The King's Fund the data processor. We would need to put in place a data processing agreement (we have a template or we could use the RHO's) so that we can send the survey to participants and provide the relevant data privacy notice for anyone interacting with the survey.

- **Input from HSIB** –We will also need to work with you to determine the most effective approach to engaging this audience. This may involve an introductory email from you to seek expressions of interest that we can follow up, or another approach that we agree. Ideally, we would have some co-ordination support from the you to help our Co-ordinator to communicate with interviewees and focus groups attendees, to ensure we can keep to the timetable.

We would plan to cover all the above during contract mobilisation.

5 High level overview and fees

The table below sets out fees for the approach described. This is our proposed approach and costing model based on our conversation with you and we welcome the opportunity to discuss further.

Fees excludes VAT – which will be charged at the prevailing rate (currently this is 20%). Currently we are assuming all delivery will be virtual and no extra expenses (such as travel and accommodation) will be required.

Priced on maximum	£ Cost per day	No. of days	Total
Set up and engagement	████	1	████
Design and mapping	████	1	████
Inquiry	████	1	████
Data analysis	████	1	████
Sense making together	████	1	████
Planning for the future	████	1	████
Oversight and programme management	████	1	████
Project coordinator	████	1	████
Total		████	████
████████████████████	████	████	████
HSIB discount (-5.95%)		████	████
████████████████████		████	████

██
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██
██

6. Capability and experience

6.1 Proposed team members

We propose these highly skilled and experienced consultants for this programme who have worked at, and with, senior levels across the NHS in organisational leadership, strategy and organisational development. Each has over twenty years' experience of board, executive and senior leadership working and of developing organisation-wide leadership capability across private, public, charity, third sector and NHS organisations.



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6.2 Example projects within the last 3 years

6.2.1 Survey design and analysis

Quarterly Monitoring Report

Since 2011, The King's Fund has published a Quarterly Monitoring Report – How is the NHS Performing? – as part of our work to track, analyse and comment on the changes and challenges the health and care system is facing. This work includes a regular survey of finance directors and CCG finances leads that provides insights about finance directors' views on the productivity challenge they face.

<https://www.kingsfund.org.uk/projects/quarterly-monitoring-report>

<https://www.kingsfund.org.uk/projects/quarterly-monitoring-report>

Royal Voluntary Service

In July 2018, the Royal Voluntary Service and Helpforce commissioned The King's Fund to conduct research into how volunteers are perceived by NHS healthcare professionals.

The intention of the research was to ascertain the perceptions of frontline NHS staff working in acute care about the operational pressures they face, how they understand the roles and value of volunteers and what gaps there are that volunteers could help fill. In December 2018, The King's Fund produced a report of the research findings, which was based on a survey, a series of semi-structured interviews and a non-systematic literature review.

<https://www.kingsfund.org.uk/publications/role-volunteers-nhs-views-front-line>

<https://www.kingsfund.org.uk/publications/role-volunteers-nhs-views-front-line>

Integrated care systems in London: Challenges and opportunities ahead

Commissioned by the Greater London Authority, this report looks at how the five ICSs in London were developing before Covid-19 and how this has changed as a result of the response to the pandemic. The authors considered the key strategic priorities for London's ICSs focusing particularly on how they are addressing health inequalities, the use of digital technologies, workforce challenges, estates and social care. The report was based on documentary analysis of strategic plans, in-depth qualitative interviews and a roundtable discussion

<https://www.kingsfund.org.uk/publications/integrated-care-systems-london>


Qualitative inquiry

The King's Fund also undertakes a range of qualitative organisation development diagnostic projects, including:

Norfolk and Norwich University Hospitals NHS Foundation Trust

The Trust wanted to assess the impact of cultural development within NNUH since the CQC inspection report published in May 2015, specifically to:

- Identify current strengths and weaknesses within NNUH's senior leadership culture – at Board, management board and divisional triumvirate levels.
- Test how the senior leadership culture impacts on how staff are led and managed at various levels throughout the organisation.
- Make recommendations to support further improvement in priorities identified through the staff survey – i.e. reducing bullying behaviour between staff and promotion of a speak up culture.



During April 2018, we conducted 14 interviews with the Trust's leaders, a speaking-up guardian and a staff-side representative. We facilitated 16 workshops with staff, designed around a mixed-methods approach of focus group conversations and live data capture, (anonymous voting) on key questions covering experiences of line management, bullying and harassment and safety to speak up. Workshops were open to, and attended by, all staff groups. In total, 271 staff attended these workshops.

Interview transcripts and workshop outputs were coded and analysed thematically. Voting outputs were collated for all workshops. We also conducted a desk-top review of relevant background material and data from NNUH and external sources including most recent Board papers, the 2017 CQC inspection report, PwC 'well-led' review and the Trust's 2017 Annual NHS Staff Survey. This data was incorporated into our findings and shaped our recommendations. The report was presented to the Chairman and Trust Board.

Evaluation/impact: The report's recommendations were implemented, resulting in over a million £ investment in organisational development, recruitment of L&OD capacity.

7 Terms of reference for the Inquiry

The HSIB has a purpose that is to improve patient safety through effective and independent investigations that do not apportion blame or liability. The HSIB values independence, collaboration, trust, respect, compassion, and accountability.

Improving workplace culture and staff engagement is a key tenet of the NHS People Strategy and a priority for any organisation. For the HSIB a positive workplace culture is vital so that the organisation can deliver its purpose and respect the 100s of stories and experiences that patients, families, NHS staff and other stakeholders have with their experience of investigations or harm caused during NHS care

Notwithstanding the positive development of the organisation over the years since its inception, or the commitment to the values of the organisation demonstrated by the majority of staff, attention has been drawn to the fact that behaviours are not always in line with the values espoused.

HSIB Transition

In Jan/Feb 2021, The Department of Health and Social Security announced that the HSIB would become an independent organisation with its own Board and leadership outside of NHSE/I and DHSC. This transition provides another opportunity to: re-state a commitment to a positive workplace culture and to

create an intent, an environment and a leadership quality that supports the transition period and can be embedded within the new organisation.

Terms of Reference

The principal philosophy behind this review is to appreciate and understand what works with the current culture at the HSIB and what might need to change - by hearing from people who work in and with the team. Developing any themes and responses to the initial enquiry will be co-created with the people who contributed and used to assess and recommend any developments and changes needed.

The Review will operate in accordance with the following Terms of Reference. The objectives of this review are to work alongside the Reference Group (See appendix 1) to:

- (a) review how any previous reviews and staff surveys, and other available information related to culture, were handled and to consider how any findings or recommendations were responded to by the HSIB leadership and NHSE/I DHSC.
- (b) Using inquiry based approaches explore:
 - how the current culture is perceived and experienced, drawing on a representative number of internal and external stakeholders.
 - How the leadership would describe the culture drawing on any stated values and behaviours or other cultural expectations.
- (c) Assess whether people wanting to raise a concern were aware of or had access to appropriate policies and support identifying any actual or perceived barriers to reporting, making complaints, FTSU or other mechanisms of raising concern – although the quality of the policies and their application is outside of the scope of this review.
- (d) consider and comment on the HSIB as a place of work with regard to ensuring the treatment of staff with dignity and respect and maintaining an open and supportive culture, specifically considering those with protected characteristics.
- (e) Have three phases to the work that are considered interdependent but open for reflection and review:
 - Data gathering
 - Inquiry
 - Co-creation and development of themes
 - A plan for the future
- (h) Consider, and make recommendations, for any other matters the Reference Group considers are directly related to the purpose of this Review, particularly at each milestone review.

Scope

- (a) References to the HSIB in this Terms of Reference includes all staff employed under the leadership of the Chief Investigator.

(b) The period to which this Review applies is for a period from end of April up until September, depending on responses and availabilities, particularly over the summer months.

(c) All current HSIB staff will be offered the opportunity to participate in this Review, including interim staff. Any recent former staff may be approached and participate if they wish to do so.

(d) The Reference Group may through the course of the Review mend these Terms of Reference. This could include clarification in response to information gained during the review and at any of the milestones agreed during the review.

Out of scope

(a) No existing avenue of concern open to current or ex-HSIB staff will be affected by this Review. Those who take the opportunity to share their experiences will be given details of existing channels for the resolution of their individual concerns and any related support.

(b) The Review will not reopen individual cases, concerns or investigate new reports or complaints against specific individuals. Those wishing to raise or discuss any new concerns will be advised of the pathways for the resolution of such concerns.

(c) The Review will not make any findings nor make any comment on the conduct, performance or competence of any individual who has raised a concern or is the subject of a concern.

(d) The Review will not consider nor advise on the investigatory performance of the HSIB.

Communication and engagement

(a) HSIB will communicate with all staff and stakeholders taking part and design this communication in partnership with the review team.

(b) Relevant current and former staff, management and senior members of the management team will be provided with the opportunity to share their relevant perspectives by outlining in person, or in writing, or through anonymous survey their experiences of the culture. For the avoidance of doubt, no HSIB staff (current or past) can, or will, be compelled to participate in this Review.

(c) Channels of communication will be established to ensure recent former HSIB staff know how to participate in this Review if they wish to do so.

(d) The Review will engage with any relevant external stakeholders and experts as the considered necessary.

(e) NHSE/I will ensure that appropriate support options are available to those participating in the Review and that these are explained, as appropriate, to participants in the Review.

Confidentiality and Protection of Privacy

(a) Every piece of information collected through the Review will be treated confidentially in line with NHSE/I confidentiality processes and subject to appropriate data intelligence procedures.

(c) All people interviewed or spoken to as part of this Review will be advised that notwithstanding the above commitment to confidentiality, the report, its findings and recommendations are intended to be used to create a positive workforce culture in the HSIB now, through the transition period and into the future and any intelligence, information or data shared as part of this

process will be treated in a way that means that it could not reasonably lead to the identification of any person taking part or being referred to.

Appendix 1

Steering Group Membership and Brief:

The Steering group is established to oversee the review and ensure that these terms of reference are followed or adjusted if needed – particularly at the review milestones identified in the project plan.

The principal philosophy underpinning the review is openness and transparency supporting the co-creation with people who took part, and particularly the senior leadership team, of a set of themes and responses arising from the enquiry and a plan for the future.

The Group will plan to meet 4 times during the review, including before the launch and at the end of the programme if there is a need for further meetings this will be decided by the group.

Membership:

- Sponsor Aiden Fowler NHSE/I
- Sponsor TBC DHSC
- [REDACTED]
- [REDACTED]
- [REDACTED]
- HSIB staff voice

Attendance, when needed

- The King's Fund Review Team
- Senior management team HSIB

8 The King's Fund contact details

The King's Fund

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Tel: 020 7307 2400

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Registered Charity: 1126980

Head of Business
Management:

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[REDACTED]