Whistleblowing Survey 2021-22 Quarter 1

Guidance Notes

1. Whistleblowing is defined, in the National Whistleblowing Standards 2020 as "when a person who

delivers services or used to deliver services on behalf of a health service body, family health  
service provider, or independent provider (as defined in section 23 of the Scottish Public Services  
Ombudsman Act 2002) raises a concern that relates to speaking up in the public interest, about an  
NHS service, where an act or omission has created or may create, a risk of harm or

wrongdoing." The survey will report only on concerns closed within the quarter. The term “closed”  
refers to a response sent to the person who raised the concern, at the end of the investigation.

2. Time taken to respond to a raised concern should exclude all days not worked (e.g. Weekends

and Public Holidays).

3. Time taken to respond will in most cases begin with the date the concern is reported, however,

should consent be required then the time taken to respond will begin from the date consent is  
received.

4. If the practice has received no concerns during the reporting period selecting “No” at question 3

will complete the survey for you. You can then click “Submit”.

5. There are two types of concern defined by the 2020 Standards:-

- Stage 1 Early Resolution for relatively simple concerns which can be responded to quickly,  
possibly at the time, but certainly within 5 working days. If the whistleblower is not satisfied with  
the response at stage 1, or the agreed action has not been taken, they can take their concern to  
Stage 2, Investigation.  
 - Stage 2 Investigation is for concerns requiring investigation, where you are expected to respond  
within 20 working days.

6. It may be that, for various reasons, concerns raised at any stage cannot be completed within their

deadline, e.g. one of the parties being unavailable due to illness or holiday. In these cases,  
practices are permitted to grant extensions past the deadlines at each stage. We are asked to  
collect data on these extensions and ask that you complete the second field in questions 6, and  
7.

7. We have included a Outcomes section in this survey in order to meet the requirements of the

guidance. Can we ask you to indicate how concerns raised with you were resolved, whether fully  
or partially upheld in favour of the patient, or not upheld?

8. This return can be updated as required until the closing date which is documented on the

distribution E-mail.

1. What type of independent contractor are you?

GP (enter your GP Practice Number at question 2

Optometrist (enter your payment location code at question 2

2. What is your contractor reference number?

3. What is the level of staff awareness, perception and training around Whistleblowing?

4. Have you received any concerns raised during the reporting period that came under the  
definition of whistleblowing?

Yes

No

5. How many of the concerns received within the reporting period:

were defined  
as early resolu-  
tion (within 5  
working days)  
(Stage 1)

were initially  
defined as for  
investigation  
(within 20 work-  
ing days)  
(Stage 2)

6. How many Stage 1 (early resolution) concerns:

were re-  
sponded to  
within 5 work-  
ing days?

were granted  
an extension

7. How many Stage 2 (concerns requiring investigation) :

were re-  
sponded to  
within 20 work-  
ing days?

were granted  
an extension.

8. What was the average time, in working days, taken to respond to each of the following types of  
concern: -

Stage 1, Early  
Resolution

Stage 2, Inves-  
tigation

Complaints Outcomes

9. Of the concerns dealt with by early resolution, how many were:

Upheld

Partially upheld

Not upheld

10. Of the concerns dealt with by investigation, how many were:

Upheld

Partially upheld

Not upheld

If the Practice received any whistleblowing concerns within the reporting  
period:-

11. What learning, changes or improvements to services or procedures have you made as a  
result of consideration of whistleblowing concerns?

12. What were the experiences of all those involved in the whistleblowing procedure (where this  
can be provided without compromising confidentiality)?