

# WHISTLE BLOWING POLICY

## Document Summary

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<b>Version Number:</b>	6.0
<b>Document Status:</b>	Approved
<b>Date Last Approved:</b>	March 2024
<b>Date of Next Review:</b>	March 2027
<b>Frequency of Review:</b>	3 Years
<b>Statutory Policy?</b>	Yes
<b>Model Policy?</b>	Yes
<b>On School Website?</b>	Yes

### FYI: Version control should be used for all formal documents and managed as:-

- ▶ 0.1 (1st draft version)
- ▶ 0.2 (2nd draft and so on..... 0.3. 0.4 etc)
- ▶ 1.0 (Once document has been approved)
- ▶ 1.2 (during review/approval of a lifecycle document i.e. policies)
- ▶ 2.0 (2nd approved document) and so on.

## Amendment History

Version	Amendment Date	Author	Amendment Summary
V1.0	Dec 2013	Rosie Brydon	Approved version issued by SGlos
V2.0	June 2017	Rosie Brydon	Approved version issued by SGlos
V3.0	June 2019	Ruth Owen	New model policy issued by SGlos
V3.1	Oct 2019	Ruth Owen	Made reference to Gobs following Internal Audit
V4.0	28.02.20	Ruth Owen	Final formatting following approval
V4.1	20.01.21	Ruth Owen	New model policy issued by SGlos
V4.2	20.01.21	Gareth Slater	Reviewed new model policy

V5.0	21.05.21	Ruth Owen	Final formatting following approval
V5.1	13/03/24	Alex Knight	Policy due for review
V6.0	24/04/24	Ruth Owen	Final formatting following approval at FGB

## Whistle-Blowing Policy

1. The Council's Code of Conduct makes it clear employees are expected to raise serious concerns they have regarding aspects of work, practices which affect the integrity of the council, the safety of its employees or the general public. The council equally encourages those working with us who may not be employees, to come forward and raise concerns of this nature.
2. Allegations should only be raised under this policy if there is reasonable belief the disclosure is in the public interest. 'Public interest' means anything affecting the rights, health, or finances of the public at large.
3. The council promotes a culture of openness but recognises that 'blowing the whistle' can be difficult, particularly concerns about the possibility of victimisation. Such fears are understandable; this policy provides advice about the protections offered by the Public Interest Disclosure Act (PIDA). The Act protects workers from detrimental treatment or victimisation if, in the public interest, they blow the whistle.
4. As stated in paragraph 1 above individuals who are working with the Council, but who are not employed by the Council are encouraged to raise concerns. These individuals do not benefit from the protections contained in the PIDA that are afforded to workers. In these circumstances the Council will consider what reasonable measures it can take to ensure a person making a disclosure is treated fairly and is not disadvantaged as a result of a disclosure.
5. Whistle-blowers are encouraged to include their name when making an allegation. Anonymous allegations will be investigated but are less powerful and more difficult to act on.
6. This policy is not a substitute for other council policies regarding matters such as personal grievances, bullying and harassment, health and safety, safeguarding issues (children and/or adults) or complaints. It should not be used to raise issues relating to employee's terms and conditions of service.

## Scope

This policy applies to:

- All council employees and
- Other workers, including freelance staff, temporary and agency staff, trainers, volunteers, consultants,
- Contractors and
- Councillors
- Teachers and employees in schools

The Council recognises in the case of school-based employees many decision making responsibilities lie with the Governing Body, and in Voluntary Aided schools the Governing Body not the council is the employer. It is expected that the Governing Body will be committed to support the council's approach to cases of whistle-blowing set out in this policy.

Voluntary Aided schools may have their own whistle-blowing policy.

## What can be raised as whistle-blowing

The law protects individuals who make particular disclosures known as 'protected disclosures' against dismissal or any detriment.

You are protected by law if you blow the whistle regarding any of the following:

- A criminal offence, e.g. fraud;
- Health and safety risks where someone could be in danger;
- Risk or harm to the environment;
- Miscarriages of justice;
- The organisation is breaking the law;
- You believe serious wrongdoing is being covered up.

Some examples of the above are:

- Use of unsafe equipment or unsafe working methods;
- Employment of illegal immigrants;
- Concealing a chemical spillage;
- Financial irregularities including fraud, corruption or unauthorised use of public funds, False returns to HMRC;
- Bribery;
- Sexual, racial, physical or other abuse of service users;
- Other causes of malpractice, negligent, unprofessional or unethical behaviour;
- The conduct of contractors and/or suppliers to the council;
- Concealment of any of the above.

The following are **not** considered to be whistle-blowing – so the protection and this policy do not apply:

- Personal grievances (e.g. bullying and harassment, discrimination) – these are not covered by the whistleblowing legislation unless there is an impact on the public interest. If it's unclear which policy to raise an issue under, please contact HR Casework & Change for advice;
- Conduct issues (e.g. a colleague is abusing the flexi time system);
- Complaint for example poor service;
- Misappropriation e.g. poor financial practice that is unlikely to affect the public interest. Refer to [auditfraud@southglos.gov.uk](mailto:auditfraud@southglos.gov.uk).

## Procedure

### 1. How to 'blow the whistle'

- 1.1 Initially raise the concerns with your line manager or Head Teacher. Alternatively:
  - The Chair of the Governing Body or South Gloucestershire Councils Head of HR
  - Departmental Director
  - Head of Legal Service – Monitoring Officer
- 1.2 It should be clear that the concern/allegation is being raised under the Whistle-Blowing policy. Complaints, grievances or safeguarding concerns about adults/children issues should be raised under those specific procedures and by contacting the council's Local Authority Designated Officer (LADO) at [LADO@southglos.gov.uk](mailto:LADO@southglos.gov.uk) for children's or the adult safeguarding team (<https://sites.southglos.gov.uk/safeguarding/>).
- 1.3 All whistle-blowing cases must be registered immediately by the manager/Head Teacher with the Head of HR. In cases of financial irregularity e.g. fraud, corruption or unauthorised use of public funds, the Head of HR will contact the councils Audit Manager.
- 1.4 The Head of HR will contact the following as appropriate (if they are not already aware) to inform them of the allegation:
  - Departmental Director;
  - Governing Body;
  - Monitoring Officer and Head of Legal & Democratic Services;
  - Chief Executive.
- 1.5 In some situations, the whistle-blower may want advice from and/or involve a colleague or trade union representative. They may also be present during any subsequent interview or meeting.

1.6 The council will take the following into account when considering anonymous allegations:

- The seriousness of the matter raised.
- The credibility of the allegation.
- The likelihood of obtaining information which could confirm the allegation.

## 2. Schools

- 2.1 Schools must notify South Gloucestershire Council's Head of HR of any whistle-blowing.
- 2.2. The Head of HR will inform the school if the case should be considered by for example the Director of Children's Adults and Health (CAH) or the Chief Executive, rather than the Governing body.

## 3. Response

- 3.1 The Head of HR or Governing Body will write to the complainant within 10 working days of the concern being raised to acknowledge receipt and explain what will happen next.
- 3.2 Depending on the nature of the allegation, arrangements will be made for the matter to be:
- Investigated internally by departmental management, Internal Audit or a senior manager from another department, and/or:
  - Investigated by an external investigator with or without an internal investigator.
  - The Director or the Governing Body may, with agreement by the Head of HR, commission the investigation to be undertaken by an appropriate and suitably qualified independent consultant.
  - Referred to the External Auditor to be investigated; and/or
  - Referred to the appropriate external enforcement agency e.g. Health and Safety Executive, Environmental Agency, Police or the appropriate Government Department.
- 3.3 In some cases the problem may be resolved without the need for an investigation for example if urgent action is needed to secure relevant information or to protect the safety of individuals, action will be taken immediately.

## 4. Investigation

- 4.1 If necessary an investigation will be carried out to discover the facts/any evidence to support the allegation or otherwise.
- 4.2 Within 20 working days of the allegation being made the investigating officer will inform the person raising the concern what action is being taken and likely timescales. Feedback will be provided on an agreed and regular basis.

## 5. Support

- 5.1 An individual will be identified to provide support and information to the whistle-blower throughout the investigation and any subsequent developments.
- 5.2 If appropriate employees being investigated will be provided with support from a contact/liaison officer.
- 5.3 If the whistle-blower feels victimised or harassed as a result of raising a concern they should advise the person identified in 5.1 and/HR Policy and Operations at [hrpolicyandoperations@southglos.gov.uk](mailto:hrpolicyandoperations@southglos.gov.uk)
- 5.4 Concerns arising as a result of 'blowing the whistle' can be raised with the charity Protect (previously Public Concern at Work) on 020 3117 2520 or email: [whistle@protect-advice.org.uk](mailto:whistle@protect-advice.org.uk)

## 6. The Outcome

- 6.1 Following the investigation the Director/Governing Body will:
  - Determine as soon as possible whether any temporary arrangements made to support the investigation e.g. suspension, can be ceased;
  - Determine whether or not there is a case to answer based on the facts provided within the investigation report;
  - If applicable, arrange a formal hearing to which the employee will be invited.
- 6.2 Subject to any legal constraints, the Council will inform the whistle-blower of the outcome of the investigation e.g. evidence was found to support the allegation/or not.
- 6.3 If the whistle-blower, is dissatisfied with the outcome, they should write to the Council's Chief Executive outlining their concerns.

## 7. External disclosures

- 7.1 Normally before making an external disclosure the internal whistle-blowing procedure will have been followed.
- 7.2 If the whistle-blower is dissatisfied with the council's response through its internal procedures, the following external organisations can be contacted as appropriate:
  - Environment Agency;
  - External Auditor;
  - Health & Safety Executive;
  - Care Quality Commission (CQC);
  - Ofsted.

## 7. Other workers and suppliers

- 7.1 When other workers or suppliers blow the whistle, the same procedure should be followed as covered in this document.
- 7.2 If you are unsure who to raise your concern with please contact HR Policy and Operations at [hrpolicyandoperations@southglos.gov.uk](mailto:hrpolicyandoperations@southglos.gov.uk)

## 8. Malicious whistleblowing

- 8.1 If allegations are found to be malicious/not in good faith disciplinary action may be taken which could result in dismissal/ending of working relationship.
- 8.2 Please note if you have raised a concern in good faith you will not be subject to any detrimental action even if your allegations are unproven.

## Responsibilities

### Managers

- Ensure their staff (including agency staff, contractors, volunteers, consultants, etc.) are aware of and follow council financial, health and safety and other procedures;
- Register whistle-blowing cases brought to their attention immediately with the Head of HR; and as appropriate Safeguarding, Internal Audit;
- Provide support to any employee making a whistle-blowing complaint;

### Head of HR

- The Head of HR has overall responsibility for overseeing the whistle-blowing procedure and agreeing actions;
- Respond to the whistle-blower within 10 working days of the concern being raised;
- Inform the relevant Departmental Director/Governing Body with details;
- Advise and guide Director/Governing Body;
- Inform others i.e. Head of Legal/Monitoring Officer as appropriate;
- Work jointly with Director/Governing Body to appoint investigators, and agree terms of reference if required.

### Directors/Governing Body

- Notify the Head of HR of cases of whistle-blowing;
- Respond to whistle-blowing submissions positively within the timescales set out within this policy;

- Decide if an investigation is required;
- Identify investigators;
- Commission report and determine the terms of reference;
- Assess content of investigation report;
- Agree outcomes/action(s).

### Employees

- Raise serious concerns about aspects or work or practices which affect the integrity of the council or the safety of employees or the public.

### Human Resources

- HR Policy and Operations to record and assist with whistle-blowing procedural issues as appropriate.
- HR Casework & change may provide support with investigations as appropriate and work with the trade unions as appropriate.



**Appendix: Whistle-blowing overview**

