



Whistleblowing Policy and Procedure

1. Introduction

1.1 The Governing Body is committed to achieving the highest possible standards of service and ethical standards in public life.

1.2 This document sets out the Whistleblowing policy for staff employed in and working for Schools and encourages employees/workers to not overlook concerns they may have or to take these outside of the School but to raise those concerns internally through a supportive procedure.

1.3 The policy forms part of the School's Anti-Fraud and Corruption strategy and provides a structured mechanism for employees/workers to raise serious concerns about any aspect of the School's work without the risk of any subsequent detriment or disadvantage.

1.4 This policy is in addition to the School's Complaints and Grievance Procedures. It does not form part of the School's disciplinary procedures, although disciplinary action may result from the application of this policy.

2. Scope

2.1 This policy applies to:

2.1.1 The policy and procedure set out in this document applies to all employed in school.

2.1.2 Workers, including agency staff, consultants, self employed individuals and trainees engaged to work in Schools.

2.1.3 Contractors working for the Government/Council/Governing Body on School premises and suppliers and those providing services under a contract with the Governing Body on their own premises.

2.1.4 Organisations working in partnership with the Government/Council/Governing Body.

2.1.5 Volunteers working with or for the Government/Council/Governing Body. (note that Volunteers are not currently covered by Public Interest Disclosures Act 1998)

2.2 This policy does not apply to:

2.2.1 Members of the general public including parents and/or guardians of pupils. Concerns raised by the general public should be made via the School's complaints procedure.

2.2.2 The policy does not form part of the Governing Body contract of employment.

2.2.3 Existing procedures are in place to enable employees/workers to lodge a grievance relating to their own employment. Any serious concerns that a member of staff has about an aspect of service provision or conduct of staff/governors or others acting on behalf of the school, can and should be reported under this policy.



3. Roles and Responsibilities

3.1 Teachers/Assistant Heads /Principals/Line Managers and employees/workers have a responsibility within this procedure.

Teachers/Assistant Head /Principals/Line Managers will:

- 3.1.1 Ensure the Whistleblowing procedures are followed correctly, seeking advice from HR where they are unsure.
- 3.1.2 Support employees/workers who raise concerns under this procedure to ensure that they do not suffer detriment as a result of their action e.g. loss of status/income/conditions of employment.
- 3.1.3 Inform the Chair of Governors when a concern is raised to them.
- 3.1.4 Protect the identity of an employee/worker who raises concerns and does not want their name revealed, by only telling those who need to know and asking them to respect the confidentiality of this information.
- 3.1.5 Ensure that, even in the case of anonymity, the employee/worker is aware that any investigation may reveal the source of the information and that they may be asked to give a statement as part of the process of gathering evidence.
- 3.1.6 Where managerial or procedural action through a different policy e.g. Conduct and Discipline, is being taken against the employee who has raised concerns, the manager the Chair of Governors, who will decide whether that action should be delayed whilst an investigation under the whistleblowing procedure takes place.

3.2 Employees/Workers will:

- 3.2.1 Act in good faith and not whistle blow for personal gain or with malicious intent but use this procedure to raise concerns in the public interest.
- 3.2.2 Reasonably believe their allegations and the information they provide are substantially true.

In relation to employees in Community and Voluntary Controlled Schools with delegated budgets, The obligations of the employer reside with the Governing Body as agent of the County Council.

In relation to employees in Foundation and Voluntary Aided Schools and Academies with Delegated budgets, the obligations of the employer reside with the Governing Body.

4. Principles

The policy and procedure contained within this document is founded on the following principles:

- 4.1. That employees/workers have a legal right and duty to report their concerns if they have a reasonable belief that wrongdoing may be occurring, or may have occurred, within the School.
- 4.2 That the Public Interest Disclosure Act 1998 protects employees/workers from reprisal,



victimisation or harassment at work if they raise a concern in good faith.

- 4.3 To encourage employees/workers to raise serious concerns within the School initially, rather than overlooking a problem or whistleblowing directly to an outside organisation.
- 4.4 To encourage and enable individuals to raise concerns about any aspect of the School's work and receive feedback on any action taken without fear of reprisal.
- 4.5 To ensure that individuals receive a timely response to their concerns.
- 4.6 Not to discriminate against any individual in the application of this policy and procedure on prohibited grounds i.e. on grounds of sex, race, trade union activities, disability, age, sexual orientation, trans-gender, part-time work status or religious belief.

5. Definition of Whistleblowing

Whistleblowing occurs when an employee or worker raises a concern about a dangerous or illegal activity that they are aware of through their work and that may affect others, e.g. pupils, members of the public including parents and guardians, or the School. A concern raised, also known as a protected disclosure under the Public Interest Disclosure Act 1998, does not need to be in the public interest to qualify for protection.

The Whistleblower may not be directly or personally affected by the danger or illegality. Consequently, the whistleblower rarely has a personal interest in the outcome of the investigation and as such should not be expected to prove their case. Instead, he or she may raise the concern, also known as a protected disclosure, using the process outlined in this policy, so that others can address it.

Concerns that are covered by this policy include:

- 5.1 Conduct which is an offence or breach of law.
- 5.2 Failing to comply with a legal obligation.
- 5.2 Health and Safety risks, including risks to pupils as well as employees/workers.
- 5.3 Damage to the environment.
- 5.4 Abuse of pupils.
- 5.5 Safeguarding concerns relating to children or vulnerable adults.
- 5.6 Practice which falls below established standards of practice.
- 5.7 Possible fraud, corruption or financial irregularity including unauthorised use of School funds.
- 5.8 Any other unethical conduct.
- 5.9 Covering up information about anything listed above.

This policy incorporates provisions that are required from the Public Interest Disclosure Act 1998.

6. Exclusions

This policy does not cover the following cases:

- 6.1 Issues raised by the general public – in these instances the individual School's Complaints Procedure should be used.



6.2 Issues raised by an employee about their own employment – this is dealt with through the School's grievance procedure.

6.3 Concerns regarding Safeguarding will be raised under the Whistleblowing Policy to ensure that the employee/worker raising the concern is protected by Public Interest Disclosure Act 1998. However, the concern itself may be dealt with under the Managing Allegations Policy. See Figure 1 for how to identify which policy, Complaints, Grievance, Managing Allegations or Whistleblowing, should be used to deal with a concern.

This policy is not to be used as an appeal mechanism for other procedures i.e. following an unfavourable outcome from a grievance procedure unless employees/workers feel that the process in another procedure was significantly and seriously compromised. Employees/workers must not use dismissal or redundancy selection as sole reasons for making a disclosure under this policy.

7. Misuse of the Policy

7.1 The Governing Body will take seriously any concerns raised that are subsequently proven to have been made maliciously. Any employee/worker who is found to have acted maliciously will be subject to disciplinary action.

7.2 If, however, an employee/worker raises a concern in good faith that is not later confirmed by investigations, no action will be taken against that individual.

8. Confidentiality & Anonymity

If a concern is raised in confidence, the employee's or worker's identity will not be disclosed without first informing them. If the situation arises where the Governing Body is unable to resolve the concern without revealing the identity, e.g. because evidence is needed in court, this will be discussed first with the employee/worker who raised the concern to agree how to proceed. However, the Governing Body will not disclose the identity of the whistleblower to the person who is the subject of the disclosure or others not involved in the investigation unless it is absolutely necessary to do so and only with prior consent from the whistleblower.

It is important to note that it will be much more difficult to investigate the matter or proceed in instances where a concern is raised anonymously. Accordingly, whilst the Governing Body will consider anonymous reports, it may not be possible to apply all aspects of this policy for concerns raised anonymously.

It is expected that all parties involved in the whistleblowing process will maintain strict confidentiality throughout by ensuring that only the people who need to know have access to details of the case (with the exception of any legal obligations requiring action from the Governing Body, e.g. in health and safety matters).

Any person found to have breached the terms of this policy in relation to confidentiality may be subject to action under the School's Conduct and Discipline procedures.

9. Safeguarding

If an employee/worker has a concern that any person who works with children, young people or vulnerable adults, in connection with his/her employment or voluntary activity, has:



- 9.1 Behaved in a way that has harmed a child, young person or vulnerable adult or may have harmed a child, young person or vulnerable adult.
- 9.2 Possibly committed a criminal offence against or related to a child, young person or vulnerable Adult.
- 9.3 Behaved towards a child, young person or vulnerable adult in a way that indicates he/she is unsuitable to work with children, young people or vulnerable adults.

The employee/worker should raise the concern via the Whistleblowing Policy as this policy affords the employee/worker protection under the Public Interest Disclosure Act 1998. It is important that a safeguarding concern is raised as a matter of urgency as the safety of others may be dependent upon the concern being dealt with swiftly. The concern may then be dealt with under the procedures surrounding Safeguarding Vulnerable Adults and Managing Allegations against Staff and Volunteers working with Children and Young People.

10. Initial Stages of Raising a Concern under the Whistleblowing Policy

In the first instance, the employee/worker should raise their concern orally or in writing with an appropriate level of line management e.g Teacher/Assistant Head /Principal/Line Manager. If the concern raised involves the Assistant Head /Principal, an approach should be made to the Chair of Governors. If the concern raised involves the Chair of Governors the employee/worker should approach their relevant HR contact or the Divisional Manager School Improvement.

If the employee/worker feels unable to raise a concern to an appropriate level of line manager they may alternatively contact the Chair of Governors through the school. Concerns can also be raised through the employee/workers trade union representative. The representative should then seek advice on procedures from the local representative. Workers, such as agency workers or contractors, should raise a concern with their contact within the School, usually the person to whom they report.

- 10.1 The employee/worker must make it clear that they are raising the concern under the Whistleblowing Policy. If they wish to remain anonymous, they should make this clear to the person they contact.
- 10.2 Employees/workers will not be required to provide evidence of the concern but will be expected to demonstrate that there are reasonable grounds for raising the issue.
- 10.3 Employees/Workers should have nothing to fear by reporting concerns and individuals who do invoke the whistleblowing procedures will be seen as witnesses rather than complainants by the School.
- 10.4 Any investigations that are deemed necessary following the reporting of a concern will not be influenced by any disciplinary or redundancy procedures that may already affect employees/workers.
- 10.5 If an initial concern raised within the Authority includes any possible financial irregularity, the Head of Finance should be informed by the Principal/ Chair of Governors.
- 10.6 At any meeting during the whistleblowing process, the employee/worker has a right to be accompanied by an accredited union representative or work colleague.

10.7 The Governing Body will not meet any costs associated with the attendance of the representative or colleague at a whistleblowing meeting beyond granting paid time off to a Governing Body employee.

11. Formal Stages of the Whistleblowing Procedure¹

11.1 Stage 1 – Meeting with Principal/Line Manager

11.1.1 On receipt of the concern from the employee/worker/Teacher, the Assistant Head /Principal/Line Manager should inform HR at Strictly Education as to the nature of the concern.

11.1.2 The Assistant Head/Principal/Line Manager will then either continue to deal with the concern or refer it to another appropriate senior member of staff or the Chair of Governors. Where concerns raised involve Children, Young People or Vulnerable Adults, the appropriate process should be followed.

11.1.3 The Assistant Head /Principal/Line Manager will then write to the employee/worker within 5 working days of receipt of the concern to arrange a meeting to discuss the details of the concern that has been raised. This meeting should take place promptly.

11.1.4 The Assistant Head /Principal/Line Manager should take notes of the details of the concern either during or straight after the meeting.

11.1.5 The Assistant Head /Principal/Line Manager will then carry out a preliminary investigation and make a decision on whether a full investigation needs to take place or if urgent action needs to be taken e.g. referral to the police.

11.1.6 If a decision is made to carry out a full internal investigation, the Assistant Head /Principal Line Manager will appoint an Investigating Officer, and any parties involved in the concern will be interviewed. Notes of all meetings and interviews should be made.

11.1.7 The Assistant Head /Principal/Line Manager will then notify the employee/worker

of the outcome in writing within 5 working days of the date of the meeting. This time limit may be extended if the investigation is fairly complex and will take time but the employee/worker who raised the concern must be notified of any delay. This letter must be copied to the Chair of Governors.

11.1.8 If the employee/worker is dissatisfied with the outcome at Stage 1, they may opt to take the matter to Stage 2 by writing to the Assistant Head /Principal/Chair of Governors within 10 working days of the date of the decision letter at stage 1.

11.1.9 The Assistant Head /Principal/Line Manager will also notify the person that is the subject of the disclosure within 5 working days of the date of the meeting. Upon receipt of the confirmation the individual will be able to appeal any decisions by writing to the Head of School or Governing Body.

Figure 1 – Flowchart on Whistleblowing Procedure

11.2 Stage 2 – Meeting with Head of School/Principal/Chair of Governors

11.2.1 Assistant Head /Principal/Chair of Governors (Hearing Officer) will then write to the employee/worker within 5 working days of receiving the letter to arrange a meeting to discuss the continuing concerns and why they are dissatisfied with the decision at Stage 1. This meeting should take place promptly.

11.2.2 The Hearing Officer may then decide to investigate further and will need to decide what action to take. The employee/worker must be updated with the outcome of the meeting, within 5 working days.

11.2.3 If the employee/worker is dissatisfied with the outcome at stage 2, they may opt to take the matter to stage 3, by raising the concern externally, within 10 working days of the date of the decision letter at stage 2.

11.2.4 Following a Hearing if the employee/worker is dissatisfied with the way in which procedures were followed, they should put their concerns in writing to their relevant HR contact in order that concerns may be addressed.

11.3 Stage 3 – Raising the Concern Externally

11.3.1 At Stage 3, the employee/worker is entitled to take their concern to any of the following²:

11.3.2 A County Councillor or the local Member of Parliament.

11.3.3 The District Auditor.

11.3.4 The Police.

11.3.5 Public Concern at Work³ (www.pcaw.co.uk or telephone 020 7404 6609)

11.3.6 A relevant professional body or inspectorate (e.g. OFSTED OR SSI).

11.3.7 A trade union or professional association.

11.3.8 The Local Government Ombudsman.

11.3.9 The Diocesan Director of Education (employees/workers in Voluntary Aided schools only).

11.3.10 Ofsted.

11.3.11 Education Funding Agency.

² In taking their concerns outside the School, the employee/worker should, as far as possible, avoid revealing confidential information (e.g. about pupils, clients or other workers).

³ Public Concern at Work is an accredited legal advice centre so an employee/worker who approaches this organisation does not breach the duty of confidence that they owe to their

employer.

12 Assistant Heads /Principals/Governors

Assistant Heads/Principals should raise their concern initially to the Chair of Governors and then if they wish to take the concern to a Stage 2.

In the event that a Governor wishes to raise a concern under the Whistleblowing Policy, they should address their concerns to the Director of Children's Services, the EFA or Ofsted or to an elected Member of the Council.

13 Investigation

When a concern is raised through the Whistleblowing Policy, it may be necessary to carry out an internal enquiry. In this instance, an Investigating Officer will be appointed by the Hearing Officer and is responsible for investigating events surrounding or leading to the concern raised.

The Investigating Officer will meet any other parties or witnesses named in the investigation or deemed to be relevant. At this point, a written summary of interview notes and any findings should be produced for the Hearing Officer. If further allegations or information come to light during the course of the investigation the Hearing Office must be kept informed.

14 Action under the Whistleblowing Policy

Feedback will be given to the employee/worker who has raised the concern under the Whistleblowing Policy. However, it may not be possible to tell the employee/worker the precise action that may be taken as a result as this may infringe a duty of confidence owed by the School/Academy to another employee/worker.

Prior to any investigation, the Principal/Line Manager/Chair of Governors may decide to:

14.1 Take action without the need for an investigation

14.2 Take urgent action before an investigation takes place, e.g. suspension of an employee/worker, if sufficient initial evidence indicates this is warranted.

14.3 Undertake an investigation e.g. through the disciplinary procedure, Managing Allegations against Staff and Volunteers Working with Children and Young People, Safeguarding, Vulnerable Adults process or by internal audit through the Anti-Fraud and Corruption Statement of Policy, (EFA) if the case involves financial irregularity or corruption.

14.4 Refer the concern straight to the police. If a concern is referred straight to the police then an internal investigation **must not** be carried out as the police will wish to speak to all parties involved.

14.5 Arrange an alternative independent enquiry e.g. Health and Safety Executive

The employee/worker should be kept informed as to what decision has been made and an explanation given for the decision. If a decision is made to take action under another policy e.g. Conduct and Discipline or the Managing Allegations, after an investigation, the Assistant Head /Line Manager/Chair of Governors should:



14.6 Write to the employee/worker who has raised the concern to inform them of the outcome within 5 working days of the meeting.

14.7 Give reasons for the decision made and explain that the employee/worker has a right to take the matter to the next level and give details of how they should do this.

If, following the use of the whistleblowing procedures, an individual believes they are being subjected to detrimental treatment by any person within the School, they must inform their relevant Line Manager immediately and appropriate action will be taken to protect them from any reprisals. In the case of a Governor being subjected to detrimental treatment they should immediately inform the Director of Children's Services.

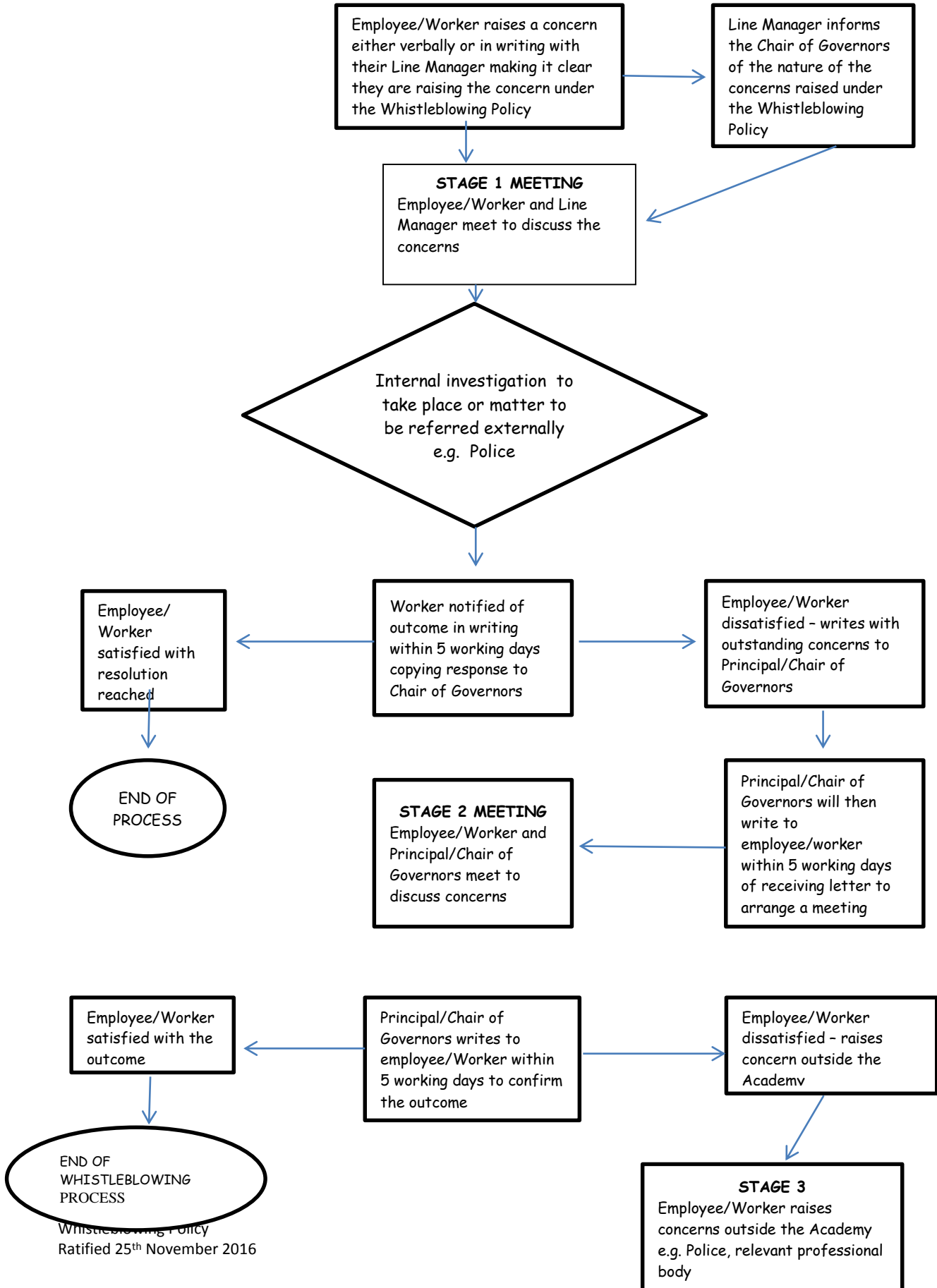
As part of the Governing Body's commitment to dealing with concerns raised via this policy, any person who victimises or harasses an individual as a result of them having raised a concern under the procedure, may be subject to disciplinary action. Similarly any person who deters or attempts to deter any individual from genuinely raising concerns under this policy may also be subject to disciplinary action.

15 Records

The Chair of Governors should keep a record of concerns raised within the School. Records should not be kept on the file of the individual who raised the concern under any circumstances.

Figure 1

The Academies Whistleblowing Process





The Governing Body approved this procedure on date: **25th November 2016**

Signed:

Chair of Governors

Signed:

Principal



MODEL LETTER 1

WHISTLEBLOWING PROCEDURE

Private and Confidential

Address

Date

Dear XXX

ACKNOWLEDGEMENT OF CONCERNS RAISED UNDER THE WHISTLEBLOWING PROCEDURE

I refer to the concern that you have raised under the Whistleblowing Policy and would like to arrange to meet with you on ***insert date, time, venue***. The purpose of this meeting is to explore the reasons for your concerns more fully and gather any relevant documentation you have in respect of the matter being raised.

You have the right to be accompanied at this meeting by a ***work colleague or trade union representative***. Should you wish to change the date and time of this meeting for any reason, please contact me immediately to reschedule.

Following my meeting with you, an investigation will take place that could involve other relevant parties being interviewed. I anticipate that it will take up to 28 days from the date of our meeting to complete the investigation.

You will then be kept up to date with any progress as far as confidentiality owed by the Council/School to another employee or worker will allow.

(Insert if applicable)

As you do not want your name revealed, I will do my best to make sure your identity is protected by only telling those who need to know and asking them to respect the confidentiality of this information. However, I have to make it clear to you that any investigation may reveal the source of the information, and you may be asked to give a statement as part of the evidence gathered.

The School is committed to assuring those who raise concerns under the whistleblowing policy that they have the right to do so. Any form of victimisation, harassment or reprisal at work will be dealt with as a serious disciplinary offence. It is very important that you contact Human Resources if you experience any difficulties as a result of the concerns you have raised.



I should like to ensure you that the matter is being taken seriously and to thank you for bringing it to my attention/name of person the individual with whom the concern was raised.

I am enclosing a copy of the Whistleblowing policy and procedure for your information. Please could you contact me to confirm whether you will be able to attend the meeting on (insert telephone no.) and confirm who you wish to bring as your representative.

Should you have any concerns or queries, please do not hesitate to contact me.

Yours sincerely

Principal/Chair of Governors

Enc: Whistleblowing Procedure

Cc: Chair of Governors
Human Resources

MODEL LETTER 2

WHISTLEBLOWING PROCEDURE



Private and Confidential

Address

Date

Dear XXX

NOTIFICATION OF DECISION UNDER STAGE 1 OF WHISTLEBLOWING PROCEDURE

Following on from our meeting on *date at time*, I am writing to inform you of my decision regarding the concerns you raised. At the meeting we discussed

(state concerns or refer to letter setting out concerns)

After listening to your concerns, and considering the matter carefully, I have reached the following decision (delete as appropriate):

- To take no further action (give reasons)

OR

- To take the following steps to pursue the matter:
 - to take action without the need for investigation (describe action and give reasons)
 - to take urgent action before an investigation takes place (e.g. suspension of a worker) if sufficient initial evidence indicates this is warranted
 - to arrange an investigation to look into the details of your concerns (describe type of investigation – e.g. through the disciplinary procedure; through the child/vulnerable adult protection procedure; by internal audit if the case involves financial irregularity or corruption –and give reasons)
 - to refer the matter to the Police (give reasons)

An investigating officer will be appointed, supported by a Human Resources Officer. I will keep you informed of the progress of the investigation, during which it might be necessary to contact you for more information or help. You can bring a representative or work colleague to any meeting.

If you are dissatisfied with the decision, you have the right to take the matter to Stage 2 of the Whistleblowing Procedure by raising the concern with the Principal/Chair of Governors. If you would like to take the matter further, please write to the Principal/Chair of Governors within 10 working days from the date of this letter to register your concerns, giving reasons why you are not satisfied with the action that has been taken to date.

As you do not want your name revealed, I will do my best to ensure your identity is protected by only telling those who need to know and asking them to respect the confidentiality of this information. However, I have



to make it clear to you that the investigation may reveal the source of the information, and you may be asked to give a statement as part of the evidence gathered.

I am aware this may be a difficult time for you so please do not hesitate to contact me if you need any further information.

Yours sincerely

Principal/Chair of Governors

Cc: Chair of Governors
Human Resources

MODEL LETTER 3

WHISTLEBLOWING PROCEDURE

Private and Confidential

Address



Date

Dear XXX

NOTIFICATION OF DECISION AFTER INVESTIGATION AT STAGE 1 OF THE WHISTLEBLOWING PROCEDURE

Further to my letter of (insert date) regarding the concerns you raised under the Whistleblowing Procedure, Stage 1, I am writing to let you know my decision after full investigation of the matter.

(State decision, giving reasons)

If you are dissatisfied with the decision, you have the right to take the matter to Stage 2 of the Whistleblowing Procedure by raising the concern with the Principal/Chair of Governors. If you would like to take the matter further, please write to the Principal/Chair of Governors within 10 working days from the date of this letter to register your continuing concerns, giving reasons why you are not satisfied with the action that has been taken to date.

Yours sincerely

Principal/Chair of Governors

Cc: Chair of Governors
Human Resources

MODEL LETTER 4

WHISTLEBLOWING PROCEDURE

Private and Confidential

Address

Date

Dear XXX



INVITATION TO A MEETING UNDER STAGE 2 OF THE WHISTLEBLOWING PROCEDURE

Further to your letter of (insert date) stating your continuing concerns raised under the Whistleblowing Policy, I am writing to arrange to meet with you on ***insert date, time, venue.***

You have the right to be accompanied at this meeting by a ***work colleague or trade union representative.*** Should you wish to change the date and time of this meeting for any reason, please contact me immediately to reschedule.

The Council/School is committed to assuring those who raise concerns under the whistleblowing policy that they have the right to do so. Any form of victimisation, harassment or reprisal at work will be dealt with as a serious disciplinary offence. It is very important that you contact Human Resources if you experience any difficulties as a result of the concerns you have raised.

Insert if applicable:

As you do not want your name revealed, I will do my best to ensure your identity is protected by only telling those who need to know and asking them to respect the confidentiality of this information. However, I have to make it clear to you that the investigation may reveal the source of the information, and you may be asked to give a statement as part of the evidence gathered.

I am aware this may be a difficult time for you, so please do not hesitate to contact me if you need any further information.

Yours sincerely

Chair of Governors

Cc: Human Resources

MODEL LETTER 5

WHISTLEBLOWING PROCEDURE

Private and Confidential

Address

Date

Dear XXX



NOTIFICATION OF DECISION UNDER STAGE 2 OF THE WHISTLEBLOWING PROCEDURE

Further to our meeting on (insert date) I am writing to let you know my decision about the concerns you raised under Stage 2 of the Whistleblowing procedure.

I have carefully considered your continuing concerns about (state concerns)

I have decided that (state your decision and give reasons)

If you are dissatisfied with the decision and feel that your concerns have not been resolved, you should contact HR in the first instance in order for your continuing concerns to be addressed.

Following contact with HR if you are still dissatisfied with the outcome of Stage 2, you have the right to take your concerns outside the Academy to one of the individuals or organisations referred to under Stage 3 of the procedure.

Yours sincerely

Principal/Chairman of Governors

Cc: Chair of Governors
Human Resources