



RIDGEWOOD  
SCHOOL

# Staff Whistleblowing Policy

<b>Policy: Whistleblowing</b>	<b>Effective Date: November 2014</b>
<b>Revision Number : 6.0</b>	<b>Revised: January 2019</b>
<b>Reviewable: As required</b>	<b>Author: Educate HR/Business Manager</b>

## Revision History

Revision Number	Modifications	Date
1.0	Initial Policy	November 2014
2.0	Amendments to Section 8	November 2015
3.0	General amendments	January 2016
4.0	Amendment to section 1.2	January 2017
5.0	Amendment to section 2.4	February 2018
6.0	Amendment to section 2 and general amendments	January 2019

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## 1. Introduction

- 1.1 The Public Interest Disclosure Act 1998 inserted provisions into the Employment Rights Act 1996 to give protection against victimisation to employees acting as 'whistleblowers' (victimisation in such circumstances including being subjected to informal means of recrimination or retribution as well as formal disciplinary sanction up to and including dismissal).
- 1.2 Whistleblowing is defined as making a 'protected disclosure' as a means of raising concerns about serious malpractice at their place of work, provided the employee has acted in a responsible manner in dealing with the issues.
- 1.3 For the disclosure to be protected by the relevant legislation it must be made to the right person and in the right way. Staff must have a reasonable belief that:
  - any disclosure of information is in the public interest\*
  - any disclosure of information is being made to the correct "prescribed person" (further defined in Section 8 below)
  - any information disclosed is substantially true

*\*In this context, the precise meaning of 'public interest' is not defined within the relevant legislation and schools should be aware that interpretation of this point is currently dependent on evolving case law. Recent rulings (although still subject to appeal) have indicated that this may conceivably include issues linked to an individual's terms and conditions of employment or own experiences at work and thus of interest to only a particular sub-section of the public (as opposed to the public as a whole). In other words, the school should **not** (despite this being the intended express purpose of said amendment) rely on the 2013 amendment to the Public Interest Disclosure Act 1998 (which amended the wording to the effect that a qualifying disclosure must be made "in the public interest", as opposed to the previous wording "in good faith") excluding matters relating to an individual's own contract or personal conditions of employment.*

## 2. Purpose and scope

- 2.1 It is important to draw a distinction between whistleblowing, which is relevant only to matters which are **in the public interest**, and issues which are not relevant to the above legislation and do not qualify as whistleblowing, such as concerns relating to a personal grievance (for instance related to discrimination, bullying, harassment etc).
- 2.2 Matters relating to a personal grievance are **not** covered by whistleblowing legislation (unless the particular circumstances of the case are deemed to be in the public interest) and should always be addressed in accordance with the appropriate policy (grievance, bullying and harassment etc) rather than invoking the whistleblowing procedure.
- 2.3 This policy may be used by all workers and staff members at the academy to raise concerns where the wellbeing of others or that of the academy itself is at risk, for instance with regard to the alleged commission of criminal offences or employment of practices endangering health and safety.

- 2.4 The term 'worker' and 'staff member' in this policy broadly include the following: employees, contractors, agency workers, trainees, and any person who is or was subject to a contract to undertake work or services for the academy.
- 2.5 The policy encourages staff to feel confident in raising serious concerns and to question and act upon any serious concerns they might have about practices within the academy. It aims to establish a fair and impartial investigative procedure and ensure that staff receive an appropriate response to concerns and are aware of how to pursue them if they are not satisfied by this outcome.
- 2.6 This policy enables the academy to comply with the Public Interest Disclosure Act 1998 and the Public Interest Disclosure (Prescribed Persons) Order 2014.
- 2.7 The whistleblowing procedure is intended to cover major concerns that fall outside the scope of the academy's other procedures (such as health and safety or grievance). These include (this list is not exhaustive):
- possible fraud and corruption
  - inappropriate use of academy assets or funds
  - failure to comply with school financial regulatory and compliance matters (for example tampering with tender documentation, failure to register a personal interest)
  - failure to comply with Codes of Practice
  - conduct which is an offence or a breach of law
  - health and safety risks including risks to children, public and colleagues
  - damage to the environment
  - other unethical conduct.

### **3. Employer responsibility**

- 3.1 As the employer of staff in the academy the Academy Trust has overall legal responsibility for ensuring that the academy has a whistleblowing policy. The Governing Body is responsible for the running of the academy and through academy management will maintain (in a format that will not compromise confidentiality) a comprehensive record of concerns raised and subsequent outcomes
- 3.2 The academy recognises that the decision to report a concern can be a difficult one, not least because of fear of reprisals or recrimination from those responsible for the alleged failure or malpractice.
- 3.3 The academy does not tolerate harassment or victimisation and being conscious of its vicarious liability for any employee's conduct should this amount to victimisation of a whistleblower will take all necessary action to protect staff members when a concern is raised.

### **4. How to raise a concern**

- 4.1 Concerns are most appropriately raised in writing. Any submission should set out the background and history of the issue giving rise to concern, giving names, dates and places where possible. The submission should also clarify the reason why there is felt to be particular concern about the situation and should include sufficient grounds to justify this concern. It is advised that the earlier a concern is raised the easier it is to take appropriate action.

4.2 Staff are encouraged to involve their trade union or professional association and may be accompanied by a recognised trade union representative or work colleague during any meetings, reasonable time off from work being permitted for this purpose.

4.3 A form for recording the whistleblowing concern is available for use at Appendix 1.

4.4 It should be noted that should any staff member making a disclosure under the terms of the whistleblowing policy already be subject to disciplinary, grievance or redundancy procedures, these procedures will not be halted as a result of any disclosure.

## **5. Untrue or malicious allegations**

5.1 If an allegation is made in the public interest but it is not confirmed by any subsequent investigation, no action will be taken against the staff member making the disclosure. However, malicious or vexatious allegations could lead to disciplinary action including proceedings for gross misconduct.

## **6. Confidentiality**

6.1 Anyone bringing a whistleblowing concern will be protected. The investigation process, may, however, reveal the source of the information and a statement may be required as part of the evidence-gathering process. If the staff member does not wish to disclose their identity it could make it difficult to proceed with the matter.

6.2 Anonymous allegations may be considered by the academy but are much less powerful than those which are attributable to an individual and consequently are significantly less likely to prove effective.

6.3 Following discussions staff may consider raising a matter if there are two or more individuals who have had the same experience or have the same concerns. Care and judgement must, however, be exercised in all cases with due consideration being given to whether there are reasonable grounds for your concern.

## **7. Raising a concern – internal procedure**

7.1 A concern can be raised in writing or orally if preferred.

7.2 The staff member should raise their concern with the Headteacher or line manager (as appropriate) or, if the complaint is about the Headteacher, with the Chair of Governors.

7.3 If the concern is about the Governing Body, it should be raised with the Chair of the Academy Trust (or, if this is felt inappropriate, with the most relevant of the external bodies identified in paragraph 8.3).

7.4 The action taken by the Headteacher or Chair of Governors will depend on the nature of the concern. The matters may be subject to:

- internal investigation
- referral to other external regulatory authorities
- referral to the police

- consideration of the academy's disciplinary procedure (should the concern relate to the conduct of one or more employees)
- referral to the academy's external auditors for advice and guidance.

7.5 Initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form this should take. Concerns or allegations that fall within the scope of other specific procedures (such as child protection etc) will normally be referred for consideration under those procedures.

7.6 It may be possible to resolve some concerns by agreed action without any requirement for an investigation. Within ten working days of a concern being received, the Headteacher (or Chair of Governors) or line manager will write to the staff member who has raised the issue to:

- acknowledge receipt of the concern
- indicate how it is proposed to deal with the matter
- indicate whether an initial enquiry has been made
- indicate whether further investigations will take place, and if so,
- give an estimate of length of time before a full response will be provided

7.7 The amount of contact between the person dealing with the matter and the staff member raising the concern will depend on the nature of the matters raised, the complexity of the issue(s) and the clarity of the information provided. If necessary, further information will be sought from the individual raising the concern.

7.7 Subject to legal and confidentiality constraints, the staff member will receive information about the outcomes of any investigation.

## **8. Raising a concern – external procedure**

8.1 In accordance with legal protection for whistleblowers, only certain (prescribed) authorities and individuals are to be regarded as legitimate bodies who may be contacted to make a 'protected disclosure'.

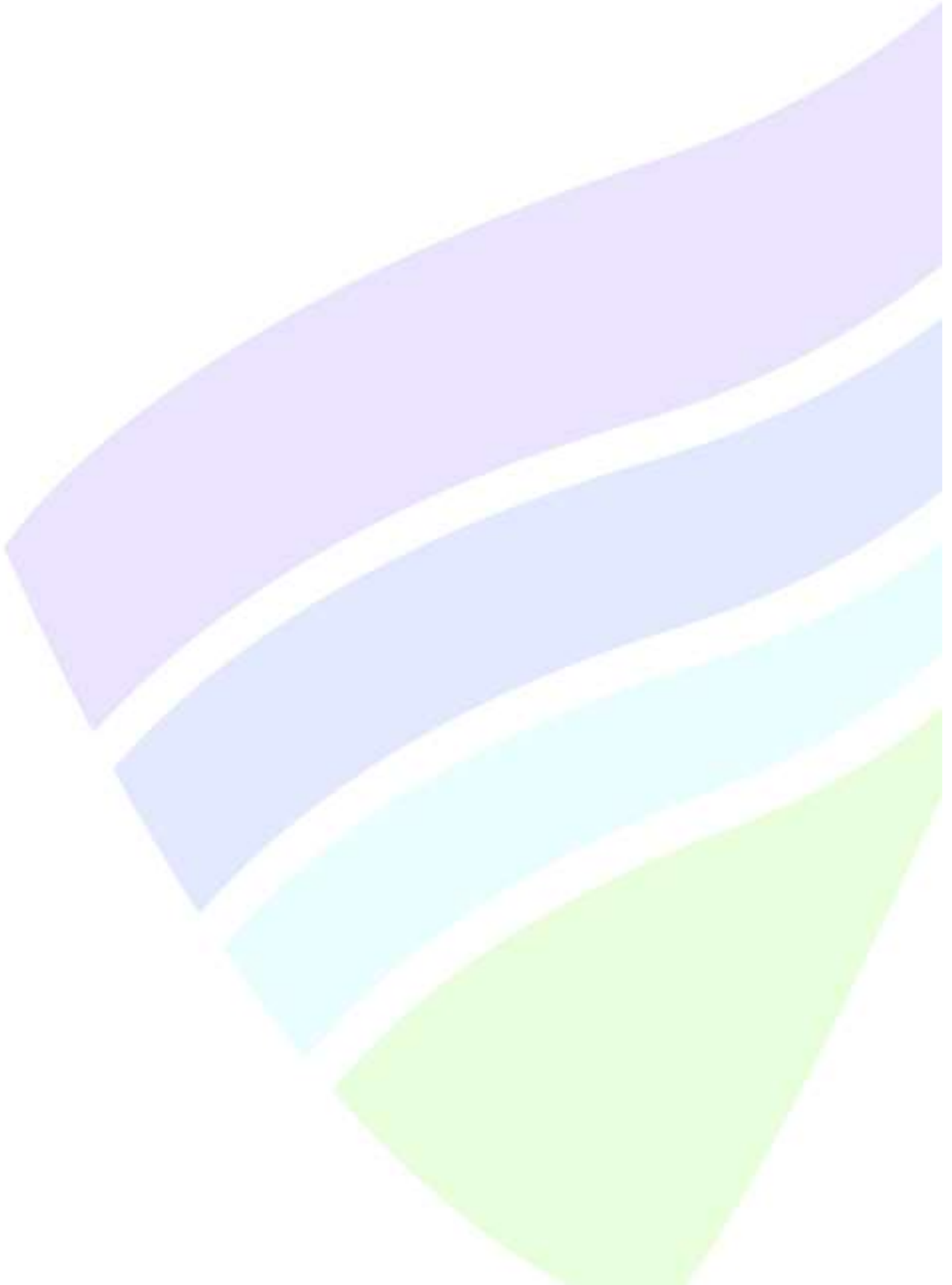
8.2 Whistleblowing to an external body without initially going through the internal procedure is inadvisable without compelling reason. Examples of compelling reasons could for instance, include either concerns in relation to serious issues of health and safety or allegations that senior management had colluded in inappropriate conduct.

8.3 Should a staff member feel that it is appropriate to take the matter outside of the school, the following authorities (defined as 'prescribed persons') are the external regulators who, within an educational setting, are most likely (although the list is not exhaustive) to be approached by a whistleblower:

- Osted
- Ofqual
- National Audit Office

8.4 Members of Parliament also qualify as 'prescribed persons' according to the relevant legislation.

- 8.5 If a member of staff does not feel able to raise concerns in the ways outlined above, they should consult the Public Disclosure Act for information about other routes by which a disclosure may be made.



## Appendix 1: Report Form to Be Used For Public Interest Disclosures

Name of Academy:

<b>Name</b>  (staff member making report - not compulsory but you are encouraged to insert your name)	
<b>Persons reported</b>	
<b>Concerns reported</b> (give full details of the background to the concern including names, dates and places; reasons why you are concerned – attach separate sheet if necessary)	
<b>Date</b>	
<b>Signed (if name appears above)</b>	