

Honiton Community College Academy Trust



This policy was adopted by the Governing Body of
Honiton Community College Academy Trust
on 18th May 2016
and will be reviewed every 3 years.

WHISTLEBLOWING POLICY

Contents – Whistleblowing Policy

1. Policy Summary and Guiding Principles

Introduction
Aims and Scope of the Policy
Harassment or Victimisation
Confidentiality
Anonymous Allegations
Untrue Allegations

2. Main legislative and National Guidance

3. Procedures

How to Raise a Concern
How the Academy will respond
How the Matter can be Taken Further
Support for Whistleblowers

4. Roles and Responsibilities

The Academy Governing Body
Human Resources Team
Managers
Employees

5. Equality Impact Assessment

1. Policy Summary and Guiding Principles

Introduction

1.1

As an employee of an academy, you may be the first to realise that there may be something seriously wrong within the organisation. However, you may not express your concerns because you feel that speaking up would be disloyal to colleagues or the organisation. You may also fear harassment or victimisation, and think it may be easier to ignore the concern rather than report it.

1.2

The Governors of the academy are committed to the highest standards of openness, probity and accountability. In line with that commitment, we encourage employees, who have serious concerns about any aspect of the academy's work, to come forward and voice those concerns.

1.3

It is recognised that certain cases will have to proceed on a confidential basis. This policy document makes it clear that staff can do so without fear of reprisals. This Whistleblowing Policy is intended to encourage and enable staff of the academy, to raise serious concerns within the academy rather than overlooking a problem or discussing it externally.

1.4

In addition, the policy provides a means for you to raise a concern under the Public Interest Disclosure Act 1998, which provides you with a certain level of legal protection if you wish to raise legitimate concerns.

Aims and Scope of the Policy

1.5

- provide avenues for you to raise concerns and receive feedback on any action taken
- allow you to take the matter further if you are dissatisfied with the academy's response and
- reassure you that you will be protected from reprisals or victimisation for whistleblowing in good faith.

1.6

There are existing procedures in place to enable you to lodge a grievance relating to your own employment with the academy. This Whistleblowing Policy is intended to cover concerns that fall outside the scope of other procedures, although the academy reserves the right to determine which procedure is appropriate.

1.7

Concerns to be reported under this policy may relate to something that:

- is unlawful;

- is against the academy's Contract Procedure Rules, Financial Procedure Rules or other policies;
- falls below established standards or practice; or
- amounts to improper conduct

Safeguards

Harassment or Victimisation

1.8

The academy recognises that the decision to report a concern can be a difficult one to make, not least because of the fear of reprisal from those responsible for the malpractice. The academy will not tolerate harassment or victimisation and will take action to protect you when you raise a concern in good faith. This does not necessarily mean that if you are already the subject of procedures such as disciplinary, improving performance, grievance or managing attendance, that those procedures will be halted as a result of your whistleblowing.

1.9

Where feasible, you will be contacted when your concern has been investigated to ascertain whether you have suffered any detriment as a result of your whistle blowing. If at any time, either during or after the investigation, you feel that you have suffered any detriment as a result of your whistleblowing you should contact your union, the Principal or the Chair of the Governing Body.

Confidentiality

1.10

The academy treats the details of all whistleblowers in confidence and will do its best not divulge your identity. However, it must be appreciated that the investigation process may reveal the source of the information without us revealing your identity directly, and a statement by you may be required as part of the evidence.

Anonymous Allegations

1.11

Allegations can be made anonymously. However, this policy encourages you to put your name to your allegation, as concerns expressed anonymously are often much more difficult to investigate. For example, we may need to contact you to obtain further information or verify the details you have already given us.

1.12

Anonymous allegations will be considered wherever possible at the discretion of the academy. The factors to be taken into account when determining whether an investigation in such a case can proceed would include:

- the seriousness of the issues raised
- the credibility of the concern; and
- the likelihood of confirming the allegation from other, attributable sources

Untrue Allegations

1.13

If you make an allegation in good faith, but it is not confirmed by the investigation, no action will be taken against you. If, however, you make malicious or vexatious allegations, appropriate action may be taken against you.

2. Main legislative and National Guidance and other relevant documents

Public Interest Disclosure Act 1998
Data Protection Act (1998)
Freedom of Information Act (2000)
Employment legislation
Employment policies

3. Procedures

How to Raise a Concern

3.1

The earlier you express the concern, the easier it is to take action.

3.2

As a first step, you should normally raise concerns with your immediate manager or other appropriate manager. This depends, however, on the seriousness and sensitivity of the issues involved and who is thought to be involved in the malpractice. For example, if you believe that management is involved, you should contact the Principal or the Governing Body

3.3

The Human Resources Team at DCC can give advice and guidance on how matters of concern can be pursued.

3.4

You may invite your trade union or professional association to raise a matter on your behalf.

3.5

Concerns can be raised with the following people or organisations. All referrals made will be treated in the strictest of confidence.

- Your manager
- Principal
- Chair of Governing Body
- DfE

3.6

Although you are not expected to prove an allegation, you will need to demonstrate that there are sufficient grounds for your concern.

3.7

There are special rules surrounding the gathering of evidence. Any attempt to gather evidence by people who are unfamiliar with these rules may adversely affect the outcome of the case as evidence has to be collected in accordance with current legislation.

3.8

Concerns are best raised in writing. The sort of information required to investigate an allegation are details of the background and history to the case, names, dates, places and, where possible, the reason why you are particularly concerned.

How the Academy Will Respond

3.9

The academy will refer to the Local Authority Designated Officers (LADOs) who advise whether what the best course of action will be. This could include:

- be investigated internally
- be referred to the Police
- form the subject of an independent inquiry
- or any combination of the above

3.10

In order to protect individuals and the academy, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. Concerns or allegations that fall within the scope of specific procedures (for example, child protection or discrimination issues) will normally be referred for consideration under those procedures.

3.11

Some concerns may be resolved by agreed action without the need for investigation.

3.12

Within ten working days of a concern being received, where appropriate, the academy will write to you:

- acknowledging that the concern has been received
- indicating how it proposes to deal with the matter (including potential timescales)
- telling you whether any initial enquiries have been made; and
- telling you whether further investigations will take place and, if not, why not.

3.13

The amount of contact between the person(s) considering the issues and you will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, further information will be sought from you.

3.14

When any meeting is arranged, you have the right, if you wish, to be accompanied by a Union or professional association representative or a colleague who is not involved in the area of work to which the concern relates.

3.15

The academy will take steps to minimise any difficulties that you may experience as a result of raising a concern. For instance, if you are required to give evidence in criminal or disciplinary proceedings, the academy will advise you about the procedure.

3.16

The academy acknowledges the need to provide you with assurance that the matter has been properly addressed. Thus, subject to legal constraints, you will receive appropriate information about the extent and outcomes of any investigations.

How the Matter can be Taken Further

4. Roles and Responsibilities

The Academy Governing Body (on behalf of LCC as the employer) has overall responsibility for:

- maintaining and operating the policy
- review of the policy every 3 years
- annual report on the effectiveness of the policy
- approving amendments to the policy
- promoting the policy periodically
- maintaining a record of concerns raised and the outcomes (but in a form that does not endanger your confidentiality) and will report as necessary.

Managers/Leaders

- To undertake investigations without undue delay.
- To maintain confidentiality.

Employees

- To raise issues of concern responsibly.

Others

- As an employee of a contractor of the academy or a partner organisation, it is recognised that in some cases, you may have concerns which you may want to bring to our attention. The academy is committed to encouraging all individuals, including non-academy employees to raise serious concerns with the organisation. Whilst we would seek always to protect the anonymity of individuals raising concerns in good faith, the Whistleblowing Policy does not protect employees of external organisations in the same way as academy employees.

5. Equality Impact Assessment

The equality impact assessment of this policy is wholly positive as the policy supports the opportunity to address equality and diversity issues.

Document Change History to ACADEMY'S MODEL WHISTLEBLOWING POLICY FOR ACADEMY BASED STAFF

The following amendments were agreed by the Personnel Committee of Honiton Community College Academy Trust on 13th March 2012:

- Item 3.5, Page 5 – put DfE instead of Devon County Council.
- Item 4, Page 7 – remove the wording 'Education Leeds' (both times).
- Item 4, Page 7 – remove the wording 'Devon County Council - To provide advice and support for whistle blowing matters'.

The following amendments were agreed by the Personnel Committee of Honiton Community Academy Academy Trust on 13th March 2013:

Review date on front sheet amended from 'annually' to 'every 3 years'

- All references to school amended to academy
- All references to Head Teacher amended to Principal
- Item 3.2 '...you should contact the Head Teacher or the Governing Body' amended to '... you should contact the Principal or the Chair of Governors'
- Item 3.5 'Concerns can be raised by the following methods' amended to 'Concerns can be raised with the following people or organisations'.
- Item 4 'annual review of the policy' amended to 'review of the policy every 3 years'
- *Additional amendment - duplicate words removed from item 4 'The school Governing Body (on behalf of LCC as the employer) ~~The school Governing Body~~ has overall responsibility for:'*