



# Whistleblowing Policy and Procedure

Version Control			
	Amendments	Date Reviewed by Govs	Next Review Date
V1.1	Initial Equality Impact Assessment added	2 <sup>nd</sup> March 2022	March 2023
V2		6 <sup>th</sup> June 2023	June 2024

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## 1. Introduction

All of us at one time or another has a concern about what is happening at work. Usually these are easily resolved. However, when the concern feels serious because it is about a possible fraud, danger or malpractice that might affect others or the school itself, it can be difficult to know what to do.

## 2. Legal Context

### Public Interest Disclosure Act (1998) (PIDA)

This policy is drafted in line with the provisions of the Public Interest Disclosure Act (1998) (PIDA). The Act protects you from detrimental treatment or victimization by your employer if, in the public interest, you disclose a concern regarding any wrongdoing.

Examples of concerns that you may raise include:

- data protection issues
- fraud or theft
- breaches of the Council's policies and procedures
- conflicts of interest
- safeguarding issues
- health and safety

## 3. Policy Statement

The Governing Body is committed to running the school in the best way possible. This policy and procedure seek to reassure \*people that it is safe and acceptable to speak up and to enable them to raise any concern that they may have at an early stage and in the right way. Rather than wait for proof, the Governing Body would prefer \*people to raise their concern as soon as you feel able to do so.

This policy has been consulted with relevant Trade Unions and Professional Associations representing school staff.

### 3.1. Aims of the policy

The Whistleblowing Policy aims to:

- A. Encourage a \*person to feel confident in raising concerns and to question concerns that you may have about perceived wrong doings.
- B. Provide a clear process in which you can communicate your concerns.
- C. Ensure that they receive a response to your concerns and are aware of how you can pursue the same if you are not satisfied with the school's response.
- D. Reassure you that if your disclosure is genuine, you will be protected from harassment, reprisals, or victimisation by anyone working for or with the Council.

### **3.2. Who does the whistleblowing policy apply to?**

All those *\*who work in a school in a paid or unpaid capacity*, whether:

- employed (full-time or part-time)
- subcontracted to deliver a service to a school
- working as a consultant
- employed through an agency
- volunteer

If you have a whistleblowing concern, you are encouraged to notify us of the same as soon as is practicably possible.

### **3.3. What is the purpose of the Whistleblowing Policy?**

The Whistleblowing Policy is primarily for concerns where there is a risk that is in the public interest. This includes risks to the wider public, customers, staff or to the Council itself.

\*A person may be worried about raising a concern and may think it best to keep it to themselves, perhaps feeling it's none of their business or that it's only a suspicion and may feel that raising the matter would be disloyal to colleagues or the senior leadership of the school.

\*A person may decide to say something but find that they have spoken to the wrong person or raised the issue in the incorrect way and are not sure what to do next.

### **3.4. Is the person using the correct policy?**

If something is troubling a person and they think that the school should know about or investigate it, please use this policy. If, however, they wish to make a complaint about their employment or how they have been treated, they are encouraged to use the grievance or dignity at work policies, which are available from the school network/school office.

If a person has a concern that relates to financial misconduct or fraud, the person is advised to refer to the school's financial policies and procedures.

## **4. Roles and Responsibilities**

### **4.1. Governing Body and Headteacher**

The Governing Body and Headteacher are responsible to:

- establish a culture whereby all individuals fully understand that it is safe and accepted to raise whistleblowing concerns
- actively want and expect individuals to raise whistleblowing concerns
- ensure that victimisation of anyone who uses the Whistleblowing procedure is not tolerated

#### 4.2. Headteacher or Chair of Governors

The governing body has designated the Headteacher specifically to deal with matters concerning Whistleblowing.

Their responsibilities are to:

- reassure and support individuals to use these procedures
- receive concerns raised by individuals
- respect an individual's request that a concern is raised in confidence · ensure that they effectively communicate with individuals
- record concerns on the school's confidential reporting form (CRF1 – Appendix 1). · carry out an initial assessment or preliminary investigation
- acknowledge the concern to the person raising it, within ten working days of it being raised and, in the response, indicate:
  - o how it is proposed to deal with the matter
  - o an estimate how long it will take to provide a final response
  - o whether any initial enquiries have been made
  - o provide information on individual support mechanisms
- inform, where appropriate, the person against whom alleged concerns have been raised, of the nature of the concerns and how it is proposed to deal with the matter

***NB If the concern is about the Headteacher, then the designated person is the Chair of Governors. If the concern is about the Chair of Governors, then the designated person is the Director of Children's Services in Community and Voluntary Controlled Schools.***

#### 4.3. Whistleblower (the person raising the concern)

- the whistleblower should raise the concern in 'good faith'
- report the concern to the appropriate person in the school, eg Headteacher or Chair of Governors, and in exceptional cases outside the school governance

#### 4.4. Trade unions and Professional Associations (or Work Colleague) · support

the whistleblower to lodge the concern(s)

- support the whistleblower to formally present their concerns to the appropriate person

***NB A representative cannot speak on behalf of the whistleblower.***

#### 4.5. Local Authority

- Where the concern is raised directly with the Local Authority, the relevant designated posts will provide advice and guidance to the school's:
  - o Monitoring Officer
  - o Section 151 Officer
  - o Director of Children's Services
- The Local Authority will provide support, guidance and advice on HR and Legal matters, where the school purchases the appropriate SLAs.

### 5. Protection provided to the Whistleblowers

#### 5.1. Victimisation

Provided the whistleblower is raising a genuine concern, it does not matter if they are mistaken. Of course, the School does not extend this assurance to someone who **maliciously** raises a matter they know is untrue.

If the **whistleblower** has raised a genuine concern under this policy, they will not be at risk of losing your job or suffering any form of reprisal as a result.

The school will not tolerate the harassment or victimisation of anyone raising a genuine concern and we consider it a disciplinary matter to victimise anyone who has raised a genuine concern.

#### 5.2. Confidentiality

With these assurances, we hope that the whistleblower will raise their concern openly. However, the school recognises that there may be circumstances when they would prefer to speak to someone confidentially first. If this is the case, they are requested to advise the school of their concern(s) at the outset.

If they ask the school not to disclose their identity, it will not be disclosed without the whistleblower's consent (unless required by law). The whistleblower should understand that there may be times when the school is unable to resolve a concern without revealing their identity, for example where personal evidence is essential or in an investigation report to provide context. In such cases, the school will discuss with them whether and how the matter can be best progressed.

Please remember that if the whistleblower does not identify themselves (and therefore are raising a concern anonymously) it may be difficult for the school to investigate the matter. The school will not be able to protect the position of the whistleblower or provide feedback, as it can when a whistleblower's identity is disclosed at the outset.

## 6. Whistleblowing Procedure

### 6.1. Steps to follow when raising a concern internally

When raising your concern, the whistleblower does not need to have firm evidence of malpractice. However, the school requests that they explain as fully as they can, the information or circumstances that have given rise to their concern.

If they wish to raise the matter confidentially, you are requested to advise the school of this at the outset, so that appropriate arrangements can be made.

### 6.2. Step one

If you have a concern about malpractice, the school hopes that the whistleblower will feel able to raise it first with their line manager or Headteacher. This may be done:

- **verbally**
- **in writing** in open correspondence
- using the school's **Confidential Reporting Form** (CRF1 – Appendix 1)

### 6.3. Step two

If they feel unable to raise the matter with their line manager or Headteacher, for whatever reason, they are encouraged to use the school's Confidential Reporting Form (CRF1) and send it to the Chair of Governors.

### 6.4. Step three

***NB This only applies to Community and Voluntary Controlled Schools, where Wirral Council is the ultimate employer of staff in those schools.***

If the Whistleblower feels unable to raise the matter with the Chair of Governors, for whatever reason, they are encouraged to use the school's Confidential Reporting Form (CRF1) and send it to one of the **Council's Designated Officers**. The list of Designated Officers, with their contact details is available both on the Whistleblowing page of the Council's Intranet site and at Appendix 2 of this policy.

These people have been given special responsibility and training for dealing with whistleblowing concerns.

If the whistleblower feels unable to raise their concerns with any of the Council's Designated Officers, they can communicate their concerns by completing the Council's CRF1 form and sending it directly to the Council's Director of Governance & Assurance (the Monitoring Officer).

### 6.5. How the school will respond to a whistleblowing concern

Where a concern has been raised under step one or two (above), it will be acknowledged within 5 working days.

The Headteacher or Chair of Governors will:

- write to the whistleblower acknowledging their concern(s)
- undertake a preliminary investigation

If the Headteacher or Chair of Governors is satisfied that the concern raised requires a formal investigation, an investigating officer will be identified.

The Headteacher or Chair of Governors will write to the whistleblower to confirm: ·

- details of the appointed investigating officer
- details of how the concern(s) will be investigated
- details of the support mechanisms available to the whistleblower during the investigation

During the investigation, the investigating officer will maintain regular contact with the whistleblower and, where possible, provide a timetable for the investigation.

At the conclusion of the investigation, a report will be sent to the Headteacher or Chair of Governors, outlining the findings of the investigation and providing any recommendations.

Recommendations are sometimes provided to assist the school in addressing findings that are reported during the investigation.

The Headteacher or Chair of Governors will then write to the whistleblower with details of his/her findings.

## **7. Additional support for employees**

Any employee who raises a concern or is the subject of an investigation under the Whistleblowing Policy can access additional support from the school such as a referral to the school's occupational health provider or confidential counselling through the Employee Assistance Programme.

***NB If the school has purchased an Employee Assistance Programme, it is an independent organisation that provides confidential help and assistance including counselling for employees for any personal or work-related issue.***

## **8. External Disclosures and Independent Advice**

It is the aim of the Whistleblowing Policy to provide the whistleblower with the reassurance and information that they need to raise their concern internally.

If they would prefer to report the concern(s) externally, they may wish to seek advice from their Trade Union, regulatory or professional body, or from the whistleblowing charity, 'PROTECT'. What is most important is that the concern is raised and considered.

PROTECT can be contacted

- by telephone on 020 3117 2520
- by email on [whistle@protect-advice.org.uk](mailto:whistle@protect-advice.org.uk)



- more information about what they do can be found by visiting [www.protectadvice.org.uk](http://www.protectadvice.org.uk)

## **9. Commitment to Equality**

This policy addresses the following equality duties:

- to eliminate unlawful discrimination, harassment, and victimisation · to advance equality of opportunity
- to foster good relations between different groups of people

## **10. Other Related Policies**

Grievance

Dignity at Work

Complaints

School's Financial Policies and Procedures

Information Governance

### Confidential Reporting Form (CRF1)

<b>Does the person want this matter to be dealt with in confidence? (tick one box)</b>	Yes	No
<b>Name of person raising whistleblowing concern</b>		
<b>Role or post</b>		
<b>School name (where appropriate)</b>		
<b>Contact address</b>		
<b>Phone number</b>		
<b>Date of disclosure</b>		
<b>Background and history of the concern (giving relevant dates):</b>		

<b>Have any other persons and/or organisations been contacted? (tick one box)</b>	Yes	No
If yes, please give details:		
<b>Does the individual have any personal interest in the matter? (tick one box)</b>	Yes	No
If yes, please give details:		
<b>Does this concern fall more properly within another school procedure? (tick one box)</b>	Yes	No
<b>Initial Action taken by the Headteacher* and outcome - ensuring any urgent action is undertaken:</b>		

**Further Action (tick appropriate box below)**

<input type="checkbox"/>	None required	<input type="checkbox"/>	Disciplinary process
<input type="checkbox"/>	Investigation by school management	<input type="checkbox"/>	Refer to Police
<input type="checkbox"/>	Internal audit	<input type="checkbox"/>	External audit

**Other action, please state:**

<p><b>Headteacher*</b></p> <p>Signed: ..... Date:</p>
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**Individual person raising the concern**

*Please sign below and enter any comments, if any, in this box.*

Signed: ..... Date:

*If the concern is about the Headteacher the designated person is the Chair of Governors. If the concern is about the Chair of Governor's the designated person is the Director of Children's Services.*

### Local Authority Designated Officer Contact Details

Role	Address	Phone
<b>Director for Children, Families and Education</b>	PO Box 290 Brighton Street Wallasey CH27 9FQ	0151 666 4288
<b>Director of Resources</b> Section 151 Officer (Financial Issues)	PO Box 290 Brighton Street Wallasey CH27 9FQ	0151 691 8688
<b>Director of Governance and Assurance</b> Monitoring Officer (Governance issues)	PO Box 290 Brighton Street Wallasey CH27 9FQ	0151 691 8491

**Initial Equality Impact Assessment** - Please complete an initial equality impact assessment once

this policy has been customised to suit your purposes.

Policy Title	The aim(s) of this policy	Existing policy (✓)	New/Proposed Policy (✓)	Updated Policy (✓)
Whistleblowing Policy				✓

This policy affects or is likely to affect the following members of the school community (✓)	Pupils	School Personnel	Parents/carers	Governors	School Volunteers	School Visitors	Wider School Community
	✓	✓	✓	✓	✓	✓	✓

Question	Equality Groups																		Conclusion									
Does or could this policy have a negative impact on any of the following?	Age			Disability			Gender			Gender identity			Pregnancy or maternity			Race			Religion or belief			Sexual orientation			Undertake a full EIA if the answer is 'yes' or 'not sure'			
	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Yes	No		
	✓				✓				✓				✓				✓				✓				✓			
Does or could this policy help promote equality for any of the following?	Age			Disability			Gender			Gender identity			Pregnancy or maternity			Race			Religion or belief			Sexual orientation			Undertake a full EIA if the answer is 'no' or 'not sure'			
	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Yes	No		
	✓				✓				✓				✓				✓				✓				✓			

Does data collected from the equality groups have a positive impact on this policy?	Age			Disability			Gender			Gender identity			Pregnancy or maternity			Race			Religion or belief			Sexual orientation			Undertake a full EIA if the answer is 'no' or 'not sure'	
	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Y	N	NS	Yes	No
	✓			✓			✓			✓			✓			✓			✓			✓				✓

<b>Conclusion</b>	We have come to the conclusion that after undertaking an initial equality impact assessment that a full assessment is not required.
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<b>Preliminary EIA completed by</b>	<b>Date</b>	<b>Preliminary EIA approved by</b>	<b>Date</b>
Julie Forsyth	30/03/2022		

<b>Policy Evaluation</b>					
<b>Points to be considered</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Please supply evidence</b>	<b>A statement outlining the overall effectiveness of this policy</b>
· Policy annually reviewed	x			Governors Finance, Pay & Personnel meeting minutes annually	
· Policy in line with current legislation	x				
· Coordinator in place			x		
· Nominated governor in place			x		

· Coordinator carries out role effectively			x		
· Headteacher, coordinator and nominated governor work closely			x		
· Policy endorsed by governing body	x			Governors Finance, Pay & Personnel meeting minutes 16/03/2022	
· Policy regularly discussed at meetings of the governing body	x				
· School personnel aware of this policy	x				
· School personnel comply with this policy	x				
· Pupils aware of this policy			x		
· Parents aware of this policy			x		
· Visitors aware of this policy			x		
· Local community aware of this policy			x		
· Funding in place			x		
· Policy complies with the Equality Act	x				
· Equality Impact Assessment undertaken	x				
· Policy referred to the School Handbook		x			
· Policy available from the school office	x				



· Policy available from the school website	x				
· School Council involved with policy development			x		
· All stakeholders take part in questionnaires and surveys			x		

· All associated training in place	x			
· All outlined procedures complied with	x			
· Linked policies in place and up to date	x			
· Associated policies in place and up to date	x			