



**As TCAT becomes established a number of current policies from individual institutions will be assimilated into new Trust wide policies. The Whistleblowing Policy for the Trust is one such policy and should therefore be seen as an Interim Policy whilst work is undertaken to consolidate key principles from existing Academy policies.**

## **1 INTRODUCTION**

- 1.1 Whistleblowing inside the work place is the term used to describe reporting by employees or ex-employees, of wrongdoing on the part of management, the Trust Board or Local Governing Bodies or by fellow employees. Wrongdoing may include for example, fraud, corruption, malpractice, breach of health and safety law, any other illegal or unethical act or breaches of the Trust's Code of Conduct. Employees may, for this purpose include, for example, contractors, agency workers and volunteers.
- 1.2 Employees are often the first to realise that something may be seriously wrong within their school or Trust and the services it commissions. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to the school/ Trust. Employees may also fear that there may be personal consequences if they speak up, for example victimisation or harassment. As a result, employees may decide not to report the matter.
- 1.3 The Trust Board and the Local Governing Bodies are committed to the highest possible standards of transparency, probity and accountability. Employees and those with whom the Trust and schools work in partnership are encouraged to come forward with any serious concerns they may have about any aspect of their work. The earlier a concern is raised, the easier it is to take action and deal with the matter.
- 1.4 This procedure outlines the process for reporting any serious concerns relating to unlawful conduct, malpractice or dangers to the public or the environment within the Trust's activities. The areas covered by the policy include:
  - Criminal offences (including fraud, bribery and corruption)
  - Failure to comply with any legal obligations to which the school or the local authority is subject
  - Miscarriage of justice
  - Danger to health and safety
  - Damage to the environment
  - An attempt to cover up any of the above

## **2 PROTECTING THE WHISTLEBLOWER**

Under the Public Interest Disclosure Act 1998 a Whistleblower is protected from detriment and unfair dismissal. The Trust will support and not discriminate against concerned employees who apply the Whistleblowing procedure, provided any claim is made in good faith.

### **3 WHEN SHOULD WHISTLEBLOWING PROCEDURES BE USED?**

- 3.1 If an employee has concerns about wrongdoing at the Trust and feels that those concerns are sufficiently serious to require reporting, this procedure outlines what should be done.
- 3.2 Each individual member of staff should feel able to speak freely on such matters. However, the Trust and colleagues have the right to protect themselves against unfounded false or malicious accusations.
- 3.3 Whistleblowing should only be used when the party implementing the procedure (Representor) has reasonable grounds for believing that a serious offence has been or may be committed. It must never be used without good grounds, falsely or maliciously.
- 3.4 Whistleblowing is not appropriate for dealing with issues between an employee and the Trust which relate to the employee's own employment or rights or employment conditions generally. Alternative dispute resolution procedures for that purpose are outlined in the Trust employment terms and conditions.
- 3.5 Whistleblowing is not appropriate for dealing with pupil complaints, which will be dealt with under separately published procedures.
- 3.6 Whistleblowing is not appropriate to specific cases of child safety or safeguarding which will be dealt with under the procedures specified in that connection. If any staff member has concerns that a pupil is being dealt with unfairly in school, they should raise their concern, in the first instance with the relevant academy's Principal or Designated Safeguarding Lead.

### **4 THE PROCEDURE**

- 4.1 Any issue raised will be kept confidential while the procedure is being used.
- 4.2 The Representor (the person raising the concern) should raise their concern with their line manager. This may be done orally or in writing.
- 4.3 However, if the concern relates to the Representor's line manager or any person to whom he or she reports, other than the Principal/Headteacher, the Representor should raise the issue with the Academy Principal/Headteacher
- 4.4 If the concern relates to the Principal/ Headteacher, the Representor should raise the matter with the CEO of the Trust.
- 4.5 If the concern relates to the CEO, the Representor should raise the matter with the Chair of the Trust Board.
- 4.6 The person with whom the matter is raised is referred to as the "Assessor". The Assessor will:
  - 4.6.1 Interview the Representor as soon as possible within seven working days, in confidence. Early interview will be essential if the concern relates to an immediate danger to loss of life or serious injury or risk to pupils;

- 4.6.2 Obtain as much information as possible from the Representor about the grounds for the belief of wrongdoing;
  - 4.6.3 Consult with the Representor about further steps which could be taken;
  - 4.6.4 Advise the Representor of the appropriate route if the matter does not fall under this procedure;
  - 4.6.5 Other than in the case of paragraph 4.5, report all matters raised under this procedure to the CEO of the Trust.
- 4.7 At the interview with the Assessor, the Representor may be accompanied by a recognised trade union representative or a work colleague. The Assessor may be accompanied by a member of the Trust staff to take notes.

The Assessor may at any time disclose the matter to a professionally qualified lawyer for the purpose of taking legal advice. The Assessor may also discuss the issue, in confidence, to other suitable professionals, such as independent HR consultants or school governance providers in order to assess the nature of the case and to inform the outcome of the investigation.

- 4.8 Promptly within ten working days of the interview, the Assessor will recommend one or more of the following:
- 4.8.1 The matter be further investigated internally by the Trust;
  - 4.8.2 The matter be further investigated by external consultants appointed by the Trust;
  - 4.8.3 The matter be reported to an external agency;
  - 4.8.4 Disciplinary proceedings be implemented against an employee;
  - 4.8.5 The route for the Representor to pursue the matter if it does not fall within this procedure; or
  - 4.8.6 That no further action is taken by the Trust.
- 4.9 The grounds on which no further action is taken include:
- 4.9.1 The Assessor is satisfied that, on the balance of probabilities, there is no evidence that wrongdoing within the meaning of this procedure has occurred, is occurring or is likely to occur;
  - 4.9.2 The Assessor is satisfied that the Representor is not acting in good faith;
  - 4.9.3 The matter is already (or has been) the subject of proceedings under one of the Trust's other procedures or policies;
  - 4.9.4 The matter concerned is already (or has been) the subject of legal proceedings, or has already been referred to an external agency.

- 4.10 The recommendation of the Assessor will be made to the CEO of the Trust. However, should it be alleged that the CEO is involved in the alleged wrongdoing; the recommendation will be made to the Chair of the Trust Board.
- 4.11 The CEO or Chair of the Trust Board, as appropriate, will ensure that the recommendation is implemented unless there is good reason for not doing so in whole or in part. Such a reason will be reported to the next meeting of the Trust Board;
- 4.12 The Representor's identity will be kept confidential unless the Representor otherwise consents or unless there are grounds to believe that the Representor has acted maliciously. In the absence of such consent or grounds, the Assessor will not reveal the identity of the Representor except:
- 4.12.1 Where the Assessor is under a legal obligation to do so;
  - 4.12.2 Where the information is already in the public domain; or
  - 4.12.3 On a legally privileged basis to a professionally qualified lawyer for the purpose of obtaining legal advice.
- 4.13 The conclusion of any agreed investigation will be reported by the Assessor to the Representor promptly within twenty eight working days of the initial interview.
- 4.14 All responses to the Representor will be made in writing and sent to the Representor's home address.
- 4.15 If the Representor has not had a response within the above time limit or such reasonable extension as the Trust requires, the Representor may go to an appropriate external agency, under paragraph 6, but will inform the Assessor before doing so.
- 4.16 The Representor may at any time disclose the matter on a legally privileged basis to a professionally qualified lawyer for the purpose of taking legal advice.

## **5 MALICIOUS ACCUSATIONS**

- 5.1 A deliberately false or malicious accusation made by a Representor is a disciplinary offence and will be dealt with under the Trust's disciplinary procedure, as well as potentially exposing the Representor to legal liability.

## **6 INFORMING EXTERNAL AGENCIES**

- 6.1 Within the Trust all staff have a duty of confidentiality. The duty of confidentiality is implied by the law in every contract of employment and prohibits employees from publicly disclosing employers' confidential information, unless it is in the public interest that the information is disclosed or unless the Trust fails to follow required procedures. Other legal restrictions on the disclosure of information, for example under data protection legislation, may also apply.
- 6.2 Whistleblowing to an external agency without first going through the internal procedure is a breach of the Trust's Code of Conduct. The external agencies which may be used if disclosure is permitted under paragraph 6.1 are:

6.2.1 Department for Education (ESFA). (In these circumstances, the DfE/ESFA will assess whether all school processes have been applied and that the Assessor has done everything possible to resolve the issue. If this is not the case, the DfE/EFA will refer the matter back to the Assessor);

6.2.2 Member of Parliament;

6.2.3 National Audit Office;

6.2.4 Health and Safety Executive;

6.2.5 Police.

6.3 Whistleblowing to the media is not appropriate or permitted in any circumstances.

## **7 CONFIDENTIAL EMPLOYEE ENQUIRIES**

7.1 Employees may, on a confidential basis seek prior guidance from their Principal/Headteacher/Trust CEO as appropriate if they wish to establish whether any course of conduct on their part or on the part of another employee may amount to wrongdoing under these procedures. Such enquiry shall be kept confidential. The Principal/ Headteacher/ Trust CEO will attempt to provide guidance on the basis of the information provided, but such guidance shall not prejudice the rights of the Trust or any person under these procedures.

## **8 MONITORING, EVALUATION AND REVIEW**

8.1 The Trust Board will assess the implementation and effectiveness of this policy. The policy will be promoted and implemented throughout the Trust.

## **9 FURTHER INFORMATION**

Although every attempt has been made to make this procedure as clear as possible, it is appreciated that there may be a desire to seek further independent advice before deciding whether to raise a concern under this procedure. Some useful contacts have been included below:

### **Public Concern at Work**

A registered charity whose services are free and strictly confidential.

Tel: 020 7404 6609

[www.pcaw.org.uk](http://www.pcaw.org.uk)

### **Local Citizen's Advice Bureau**

For general advice and information on a range of legal fields.

Tel: 08444 77 20 20

[www.citizensadvice.org.uk](http://www.citizensadvice.org.uk)

### **Advisory, Conciliation and Arbitration Service (ACAS)**

For advice on relationship issues in the workplace.

Tel: 08457 47 47 47

[www.acas.org.uk](http://www.acas.org.uk)

Individuals can also contact their trade union representative or the relevant regulator or your professional body.

