



Bedford Inclusive Learning
& Training Trust
Achieving • Believing • Collaborating

Whistleblowing Policy

Policy Status: Other

Review Cycle: 2 Years

Owner: Catherine Assink

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Approved by: Trust Board

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Purpose

To set out the BILTT's policy and procedure for dealing with concerns raised by employees except allegations of child abuse made against teachers and other staff and volunteers which will be dealt with under the Managing Allegations Against Staff Policy.

Background

As employees are often the first to realise that there may be something wrong within the academy, it is important that they feel able to express their concerns without fear of harassment or victimisation. Otherwise they may find it easier to ignore the concern rather than report it. The Public Interest Disclosure Act (in force since January 1999) recognises this fact and is designed to protect employees, who make certain disclosures of information in 'the public interest', from detriment and/or dismissal. This policy builds on the provisions of the Act.

BILTT is committed to the highest possible standard of operation, probity and accountability. In line with that commitment, employees and others with serious concerns about any aspect of BILTT and our academy's work are encouraged to come forward and voice those concerns. This policy document makes it clear that employees can do so without fear of reprisals; it is intended to encourage and enable employees to raise serious concerns within the academy or central services rather than overlooking a problem or alerting anyone external to BILTT. It is recognised that cases may have to proceed on a confidential basis.

This policy has been agreed following consultation with our recognised trade unions and does not form part of any employee's contract of employment and it may be amended at any time, subject to further consultation in accordance with the recognition agreement.

Aims and Scope of the Policy

This policy aims to:

- provide avenues for employees to raise concerns internally as a matter of course, and receive feedback on any action taken;
- provide for matters to be dealt with quickly and appropriately; and ensure that concerns are taken seriously;
- reassure employees that they will be protected from reprisals or victimisation for whistleblowing in good faith;
- allow employees to take the matter further if they are dissatisfied with the Trust's response.

This policy describes how any Trust employee can raise any concerns s/he may have about working practices and who should be informed about the concerns. It may be that issues raised via this policy will be addressed via other procedures, e.g. anti-fraud and corruption, grievance, disciplinary, harassment and safeguarding/child protection procedures.

A whistleblower is a person who raises a genuine concern relating to the matters below. If employees have any genuine concerns related to suspected wrongdoing or danger affecting any of our activities (a whistleblowing concern) he/she should report it under this policy. Whistleblowing is the disclosure of information which relates to suspected wrongdoing or dangers at work. This may include:

- a) criminal activity;
- b) miscarriages of justice;
- c) danger to health and safety;
- d) damage to the environment;
- e) failure to comply with any legal or professional obligation or regulatory requirements;
- f) bribery;
- g) financial fraud or mismanagement;
- h) negligence;
- i) breach of our internal policies and procedures
- j) conduct likely to damage our reputation;

- k) unauthorised disclosure of confidential information;
- l) examination fraud
- m) the deliberate concealment of any of the above matters.

Before initiating the procedure employees should consider the following:

- the responsibility for expressing concerns about unacceptable practice or behaviour rests with all employees;
- employees should use their line manager or team meetings and other opportunities to raise questions and seek clarification on issues which are of day-to-day concern;
- whilst it can be difficult to raise concerns about the practice or behaviour of a colleague, employees must act to prevent an escalation of the problem and to prevent themselves being potentially implicated.

All employees have the right to raise concerns, which could be about the actions of other employees, private contractors, governors, volunteers and BILTT.

Concerns raised by employees about their own conditions of service, should be addressed via the Grievance Procedure or, if the matter relates to salary, the salary review procedures documented in the relevant Pay Policy.

Safeguards

Harassment or Victimisation:

BILTT 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. BILTT will not tolerate harassment or victimisation and will take action to protect employees when they raise a concern in good faith. BILTT's grievance procedure provides employees with guidance and outlines how to raise a concern.

This does not mean that if an employee is already the subject of internal procedures such as disciplinary or redundancy, that those procedures will be halted as a result of that employee raising a concern under the whistleblowing policy.

Confidentiality:

We hope that employees will feel able to voice whistleblowing concerns openly under this policy. BILTT will make every effort to protect an employee's identity if confidentiality is requested. However, it must be understood that should the concern raised need to be addressed through another procedure, e.g. disciplinary procedures, the employee may be asked to provide a signed statement as part of the evidence, thus revealing identity. Failure to provide such a statement may mean that further action cannot be taken by BILTT to address the concern and in some circumstances, BILTT may have to disclose the identity of the employee without their consent, although this will be discussed with the employee first.

Anonymous Allegations:

Employees are encouraged to put their name to an allegation. Allegations expressed anonymously are much less powerful and more difficult to address, but they will be considered at the discretion of BILTT. In exercising the discretion, the factors to be taken into account would include:

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

Unproven/Unfounded Allegations:

If an employee makes an allegation in good faith, but it is not confirmed/proven by the investigation, no action will be taken against that employee. If, however, any subsequent investigation concludes that an

employee has made malicious or vexatious allegations, or with a view to personal gain appropriate disciplinary action may be taken against that employee.

Following investigation, allegations may be confirmed as unfounded. This outcome will be notified to the employee who raised the concern, who will be informed that BILTT deems the matter to be concluded and that it should not be raised again unless new evidence becomes available.

Support to Employees:

It is recognised that raising concerns can be difficult and stressful. Advice and support will be made available, as appropriate, to both the employee(s) raising the concerns and the employee(s) subject to investigation.

How to raise a Concern

As a first step, an employee should consider raising their concerns with their immediate manager or their manager's superior. It is acknowledged that this may not always be appropriate and depends on the seriousness and sensitivity of the issues and who is involved. For example, if an employee believes it is a serious concern and/or that their immediate manager or their manager's superior is involved, s/he should approach the head of school/CEO directly, or if an employee believes that the head of school/CEO is involved, s/he should approach the chair of governors/ chair of trustees directly. An employee (including the head of school and members of the leadership team) can by-pass the direct management line and the Governing Body if s/he feels the overall management and Governing Body of an academy is engaged in an improper course of action. In this case please refer to section 7 below.

Concerns are better raised in writing. The employee should set out the background and history of the concerns, giving names, dates and places where possible, and the reasons why s/he is particularly concerned about the situation. If an employee does not feel able to put the concern in writing, s/he should telephone or meet the appropriate person. It is important that, however the concern is raised, the employee makes it clear that s/he is raising the issue via the whistleblowing procedure.

The earlier an employee expresses the concern, the easier it is to take action.

Although an employee is not expected to prove the truth of an allegation, s/he will need to demonstrate to the person contacted that there are sufficient grounds for the concern.

In some instances it may be appropriate for an employee to ask their trade union to raise a matter on the employee's behalf.

At each meeting under this policy the employee may bring a work colleague or trade union representative. The companion must respect the confidentiality of the disclosure and any subsequent investigation.

The Role of Senior Managers

A senior leader may be informed by an employee about concern(s) and that s/he is "blowing the whistle" within the procedure in person; or in writing or over the phone.

The senior leader should respond immediately by arranging to meet with the employee to discuss the concern(s) as soon as possible.

The senior leader whom the disclosure is made to must immediately advise their head of school and the CEO of the matter. If the senior leader works in the central team they should advise the CEO of the matter

Stage One:

At the initial meeting the senior manager should establish that:

- there is genuine cause and sufficient grounds for the concern;
- the concern has been appropriately raised via the Whistleblowing Policy.

The senior manager should ask the employee, to put their concern(s) in writing, if s/he has not already done so. If the employee is unable to do this, the senior manager will take down a written summary of his/her concern/s and provide him/her with a copy after the meeting and ask the employee to confirm that it represents an accurate summary of their meeting. The senior manager should make notes of the discussions with the employee. The employee's letter and/or senior manager's notes should make it clear that the employee is raising the issue via the whistle-blowing procedure and provide:

- the background and history of the concerns;
- names, dates and places (where possible);
- the reasons why the employee is particularly concerned about the situation.

The employee should be asked to date and sign their letter and/or the notes of any discussion. The senior manager should positively encourage the employee to do this, as a concern expressed anonymously is much less powerful and much more difficult to address, especially if the letter/notes become evidence in other proceedings, e.g. an internal disciplinary hearing.

The senior manager should follow the policy as set out above and in particular explain to the employee:

- what steps s/he intends to take to address the concern;
- how s/he will communicate with the employee during and at the end of the process; and that a written response will be sent out within ten working days;
- that their identity will be protected as far as possible, but should the investigation into the concern require the employee to be named as the source of the information, that this will be discussed with the employee before their name is disclosed;
- that the Governing Body will do all that it can to protect the employee from discrimination and/or victimisation;
- that the matter will be taken seriously and investigated immediately;
- that if the employee's concern, though raised in good faith, is not confirmed by the investigation, no punitive action will be taken against them.

The senior manager should explain to the employee, as a matter of fact, that:

- if clear evidence is uncovered during the investigation that s/he has made a malicious or vexatious allegation, disciplinary action may be taken against them;
- the investigation may confirm their allegations to be unfounded in which case BILTT will deem the matter to be concluded and s/he will be expected not to raise the concern again, unless new evidence becomes available.

Stage Two:

Following the initial meeting with the employee, the senior manager should consult with the head of school, CEO or chair of governors to determine whether an investigation is appropriate and, if so, what form it should take. A record should be made of the decisions and/or agreed actions and advice must be sought from the human resources department before a decision is taken in this regard.

It may be necessary, with anonymous allegations, to consider whether it is possible to take any further action. When making this decision, senior managers should take the following factors into account:

- the seriousness of the issue(s) raised;
- the credibility of the concern(s);
- the likelihood of confirming the allegation(s) from attributable sources.

In some cases, it may be possible to resolve the concern(s) simply, by agreed action or an explanation regarding the concern(s), without the need for further investigation. However, depending on the nature of the concern(s) it may be necessary for the concern(s) to:

- be investigated internally;
- be referred to the police;
- be referred to the external auditor;

- form the subject of an independent inquiry.

Senior Managers should have a working knowledge and understanding of other relevant BILTT policies and procedures, e.g. disciplinary, harassment, child protection procedures, to ensure that concerns raised by employees are addressed via the appropriate procedure/process. Advice is available at any time from the colleague's line managers.

Stage Three:

Within ten working days of a concern being received, the manager receiving the concern must write to the employee:

- acknowledging that the concern has been received;
- indicating how they propose to deal with the matter;
- giving an estimate of how long it will take to provide a final response; and/or telling the employee whether any initial enquiries have been made;
- telling the employee whether further investigations will take place, and if not why not; and/or letting the employee know when s/he will receive further details if the situation is not yet resolved;
- providing the employee with details of whom to contact should s/he be dissatisfied with this response (see 7.1 below).

Raising Concerns outside the Academy and/or BILTT

The aim of this policy is to provide an internal mechanism for reporting, investigation and remedying any wrongdoing in the workplace. In most cases the employee should not find it necessary to alert anyone externally. The law recognises that in some circumstances it may be appropriate for the employee to report his/her concerns to an external body such as a regulator or local member of parliament. It will very rarely if ever be appropriate to alert the media. Employees are strongly encouraged to seek advice before reporting a concern to anyone external. If an employee is not satisfied with BILTT's response, the senior manager should ensure that s/he is made aware with whom s/he may raise the matter externally:

- BILTT's CEO who can be contacted via their personal assistant, <insert>;
- Public Concern at Work (*Public Concern at Work is a registered charity that employees can contact for advice to assist them in raising concerns about poor practice at work.*) <http://www.pcaw.co.uk>;
- recognised trade union;
- NASUWT - <https://www.nasuwat.org.uk/>
- NEU - <https://neu.org.uk/>
- Unison – <https://www.unison.org.uk/>
- GMB - <https://www.gmb.org.uk/>
- NAHT - <https://www.naht.org.uk/>
- ASCL - <https://www.ascl.org.uk/>
- Education and Skills Funding Agency <https://www.gov.uk/government/organisations/education-and-skills-funding-agency>
- NSPCC Whistleblowing helpline: 0800 028 0285 Email: help@nspcc.org.uk
- Information Commissioner – <https://ico.org.uk/>
- Health and Safety Executive – <http://www.hse.gov.uk>
- a solicitor

The manager should stress to the employee that if s/he chooses to take a concern outside BILTT, it is the employee's responsibility to ensure that confidential information is not disclosed, i.e. confidential information, in whatever format, is not handed over to a third party.

Monitoring and Review

The CEO is responsible for monitoring the implementation and effectiveness of this policy/procedure. The policy/procedure will be reviewed by BILTT as necessary.