

## HARROW SCHEME FOR PAY AND CONDITIONS OF SERVICE

<b>SUBJECT:</b>	<b>Whistleblowing Policy and Procedure</b>	
<b>SECTION:</b>	<b>Employment Practices</b>	<b>REF: 3.36</b>
<b>SOURCE:</b>	<b>For approval at Standards Committee 26<sup>th</sup> March 2007</b>	
<b>AND DATE:</b>	Corporate Joint Committee 7 <sup>th</sup> March 2001	
<b>APPLICABLE TO:</b>	<b>All workers - see definition below (except staff managed by School Governors)</b>	

### 1. Policy Statement

The Council is committed to the highest possible standards of conduct, openness, honesty and accountability and takes seriously any issues of malpractice or wrongdoing. Workers are often the first to realise there may be something seriously wrong within the workplace and the Council expects workers who have serious concerns about any aspect of the Council's work to come forward and voice those concerns and to feel supported when doing so.

The Public Interest Disclosure Act 1998 (PIDA) protects workers who 'blow the whistle' about malpractice or wrongdoing within an organisation. This Act makes provision on the kinds of disclosures which may be protected, the circumstances in which such disclosures are protected and persons who may be protected.

### 2. Who is covered by the Policy?

This policy and procedure applies to all Council employees, permanent and temporary, agency workers, contractors and their staff and Elected Members. It also covers suppliers and those providing services under a contract with the Council in their own premises, for example, care homes. The term "worker" within this document is used to describe any of the above.

This policy does not form part of an employee's contract of employment.

#### Schools

This policy and procedure is strongly recommended for adoption by School Governing bodies, following consultation with their staff. Governing bodies are urged to adhere to the principles outlined within this policy and procedure.

Where this policy and procedure makes reference to a manager, in schools this normally will be the Head Teacher.

### 3. Why do we need a Policy?

This policy and procedure is intended to encourage and enable workers to raise serious concerns within the Council rather than overlooking a problem or feeling the need to "blow the whistle" outside.

This policy and procedure aims to:

- encourage workers to feel confident in raising serious genuine concerns and to question and act upon concerns;
- provide avenues for workers to raise those concerns and receive feedback on any action taken;
- encourage and enable workers to raise serious concerns within the Council rather than overlooking a problem or taking it outside of the organisation.
- ensure that workers are aware of how to pursue concerns if they are not satisfied with the action taken;
- reassure workers in the strongest terms that they will be protected from possible reprisals or victimisation for Whistleblowing in good faith in accordance with this procedure.
- ensure for consistency and fairness in dealing with Whistleblowing across the council.

It is recognised that cases may have to proceed on a confidential basis.

#### **4. What is covered by this Policy?**

Disclosing a concern which the worker honestly and reasonably believes suggests that malpractice or wrongdoing has happened, is in the process of being committed or is likely to be committed, would qualify for protection under PIDA. Malpractice or wrongdoing include:

- a criminal offence;
- the breach of a legal obligation;
- a miscarriage of justice;
- a danger to the health and safety of any individual;
- damage to the environment; or
- deliberate covering up of information tending to show any of the above.

Although not covered by PIDA, it should be noted that Council employees have a duty to report to the authority any impropriety, breach of procedure or failure of the manner in which services are being provided without fear of recrimination (see Code of Conduct 2.3).

For the avoidance of doubt, this includes a duty to report a suspected breach of the Council's Constitution (including Contract Procedure Rules and Financial Regulations) eg under Section 2 para 28 of the Financial Regulations, Council employees have an obligation to report financial impropriety to Internal Audit/Corporate Anti Fraud Team.

Issues not covered in the above list will be dealt with in one of the ways outlined in Section 8.5 below.

Council employees can seek guidance and advice on how to pursue matters of concern from Human Resources.

#### **5. Safeguards against Harassment or Victimisation**

The Council will not tolerate any harassment or victimisation (including informal pressures) and will take appropriate action, within its power, to protect workers when a concern is raised. Workers who suffer harassment or victimisation should inform the individual with whom they raised their initial concern.

Workers raising an issue referred to in Section 4 in good faith and in accordance with the PIDA, are protected from harassment, victimisation or any other detrimental treatment, even if their disclosure of any wrongdoing or malpractice is not substantiated after investigation.

## **PROCEDURE FOR RAISING A CONCERN**

See Appendix 1

### **6. How to Raise a Concern**

- Concerns may be raised verbally or in writing.
- The worker needs to ensure that the person with whom they raise the concern is fully aware that they are using this procedure.
- Harrow employees may wish to discuss their concern in confidence with their Trade Union representative or work colleague and/or invite their trade union representative or work colleague to be present during any meetings or interviews in connection with the concerns raised.
- Harrow employees can seek guidance or advice on how to pursue matters of concern may be obtained from the Human Resources and advice/support may also be sought from a Trade Union Representative.
- The earlier the concern is raised the easier it is to take action.
- It will be helpful to provide the background and history of the concern (giving relevant dates, names & locations), the reasons for the particular concern about the situation and details of evidence / witnesses.
- Harrow employees may seek assistance with preparing this information from an HR Adviser or Trade Union representative.
- The earlier the concern is raised the easier it is to take action.

### **7. To whom do I Report my concerns?**

Concerns should normally be raised with a Senior Council Officer, for employees this would normally be their immediate manager.

#### **Council employees**

Council employees who do not wish to raise the issue with their manager because of the nature, seriousness or sensitivity of the issues involved, can raise their concerns with their Director, or go direct to the Director of Finance (151 Officer), Director of Legal and Governance Services (Monitoring Officer) or the Chief Executive.

#### **Schools**

In the case of schools if the concern relates to the Headteacher, this should be referred to the Chair of the Governing Body.

## **Council Members**

Where Council Members have concerns they may wish to first discuss matters with their Group Leader, but this does not discharge the responsibility to report serious matters urgently to either to the relevant Director or the Director of Legal and Governance Services.

**For guidance on raising concerns outside the Council, see Section 10 below.**

## **8. How the Council will Respond**

- 8.1 Within 5 working days, the person with whom the concern was raised will acknowledge its receipt in writing, irrespective of how the concern was raised.
- 8.2 Where the concern has been raised with a manager, (s)he together with an HR Adviser (or other relevant representative eg from Audit or Child Protection Unit) will decide whether the matter needs to be referred to a more senior officer e.g. Director, Director of Finance (151 Officer), Director of Legal and Governance Services (Monitoring Officer), Chief Executive, Head Teacher, Chair of Governors.
- 8.3 Investigation does not imply either acceptance or rejection of an individual's concerns
- 8.4 The initial enquiry will be undertaken, wherever possible within 10 working days, by the most appropriate Officer(s). This will not involve a detailed investigation, however, sufficient information will need to be gathered in order that a decision can be made as to whether further investigation will take place.
- 8.5 Where appropriate, the matters raised may:
  - be investigated by management, internal audit, or through the disciplinary process
  - be referred to the police
  - be referred to the external auditor or other external investigation
  - form the subject of an independent inquiry
  - be investigated under another procedure e.g. child/adult protection
  - be investigated under other forms of prosecution and inspection e.g. to protect public health and safety
- 8.6 In order to protect individuals and those accused of misdeeds or possible malpractice or wrongdoing, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. The overriding principle which the Council will have in mind is the public interest. Concerns or allegations which fall within the scope of specific procedures (for example, child protection or discrimination issues) will normally be referred for consideration under those procedures.
- 8.7 Within fifteen working days of a concern being raised, the person with whom the concern has been raised will write to the individual who raised the matter:
  - indicating how they propose to deal with the matter
  - giving an estimate of how long it will take to provide a final response
  - informing them whether any initial enquiries have been made

- supplying them with information on staff support mechanisms, and
- informing them whether further investigations will take place and who will conduct that investigation, or
- explaining the reasons why no investigation is to be carried out.

- 8.8 It may be necessary, as part of the investigation, to obtain additional information from the individual who raised the concern.
- 8.9 The investigation may need to be carried out under the terms of strict confidentiality i.e. by not informing the subject of the concern until (or if) it becomes necessary to do so. This may be appropriate in cases of suspected fraud.
- 8.10 The Council accepts that individuals who raise a concern need to know that the matter has been properly addressed. Thus, subject to legal constraints, the worker will be given feedback on any action taken. However, it will not include information relating to specific individuals, which will remain confidential.

## 9. How the Matter can be taken Further

This policy and procedure is intended to provide workers with an avenue within the Council to raise concerns. The Council hopes workers will be satisfied with any action taken. If not, and they feel it is right to take the matter outside the Council, the matter can be raised with the relevant organisation(s) as listed in Appendix 2.

There may be circumstances where a worker considers that (s)he needs to raise the matter externally. This may be because, for example, there is a need to involve the appropriate external regulatory body, or the worker considers that the matter has not been properly addressed, or that a worker reasonably believes that the matter will be covered up.

If a worker is unsure whether or how to raise a concern or wants confidential advice, contact can be made with the independent charity Public Concern at Work on 020 7404 6609 or at [helpline@pcaw.co.uk](mailto:helpline@pcaw.co.uk). Their lawyers can provide free confidential advice on how to raise a concern about serious malpractice or wrongdoing at work.

In circumstances where a worker decides to raise the matter externally, (s)he will only be protected under this procedure, and under employment law, where the disclosure is made in accordance with the PIDA. This means that the disclosure must fall under one of the categories listed in paragraph 4 above and must be made in one of the following ways:

- a) in the course of obtaining legal advice
- b) to a prescribed regulatory body (listed in Appendix 2) provided the disclosure is made in good faith and the worker reasonably believes the prescribed body is responsible for the matter of concern and that the allegations are substantially true;
- c) to other third parties where the worker makes the disclosure;
  - in good faith, with reasonable belief that the information and allegations are substantially true, and
  - does not make the disclosure for personal gain, and
  - has already raised the matter with the Council or prescribed regulator, unless the worker reasonably believes that (s)he will suffer a detriment, or there is not prescribed regulator and (s)he reasonable believes that evidence will be concealed or destroyed if (s)he makes the initial disclosure to the Council, and
  - in all of the circumstances it is reasonable to make the disclosure.

d) The disclosure is of an exceptionally serious nature and the whistleblower makes the disclosure:

- In good faith, with reasonable belief that the information and allegations are substantially true, and
- Does not make the disclosure for personal gain, and
- In all of the circumstances it is reasonable to make the disclosure.

Council employees who wish to take the matter outside the Council should check with their Trade Union representative or Human Resources that they are not in breach of the Council's Code of Conduct.

**Council employees should not, in any circumstances, approach the media/press.**

## **10. Support for Workers raising a Concern and others affected by the Raising of a concern**

- The Council is committed to good practice and high standards and wants to be supportive of individuals who raise concerns.
- The Council will also support individuals affected by the raising of a concern as appropriate.
- Council employees experiencing stress as a result of their involvement in this process can seek counselling and support from the Council's Occupation Health Service or Employee Assistance Programme.
- Council employees can also approach their Trade Union for advice/support throughout the procedure.
- Council employees may also approach their Employee Support Group for support throughout the procedure.
- The employee may find it helpful to involve his or her manager, particularly if they can identify specific support that would be helpful and which the manager feels are reasonable.
- The Council will take steps to minimise any difficulties which individuals may experience as a result of raising a concern, eg if they are required to give evidence in criminal or disciplinary proceedings the Council will arrange for them to receive advice about the procedure and, if necessary, be fully prepared for a Court appearance.
- Where the raising of a concern affects a group of staff, the relevant manager will, having made an assessment, take appropriate action to support the workgroup.

## **11. Confidentiality**

If a worker raises an issue, every effort will be made not to reveal their identity. It must be recognised, however, that in order to investigate the matter, information must be obtained and/or other workers questioned, therefore total confidentiality cannot be guaranteed. If criminal proceedings require that information is passed on it may become necessary to

reveal the worker's identity. In such situations the worker will be consulted before this action is taken, however, the Council will endeavour to maintain confidentiality whenever possible.

## **12. Anonymous Allegations**

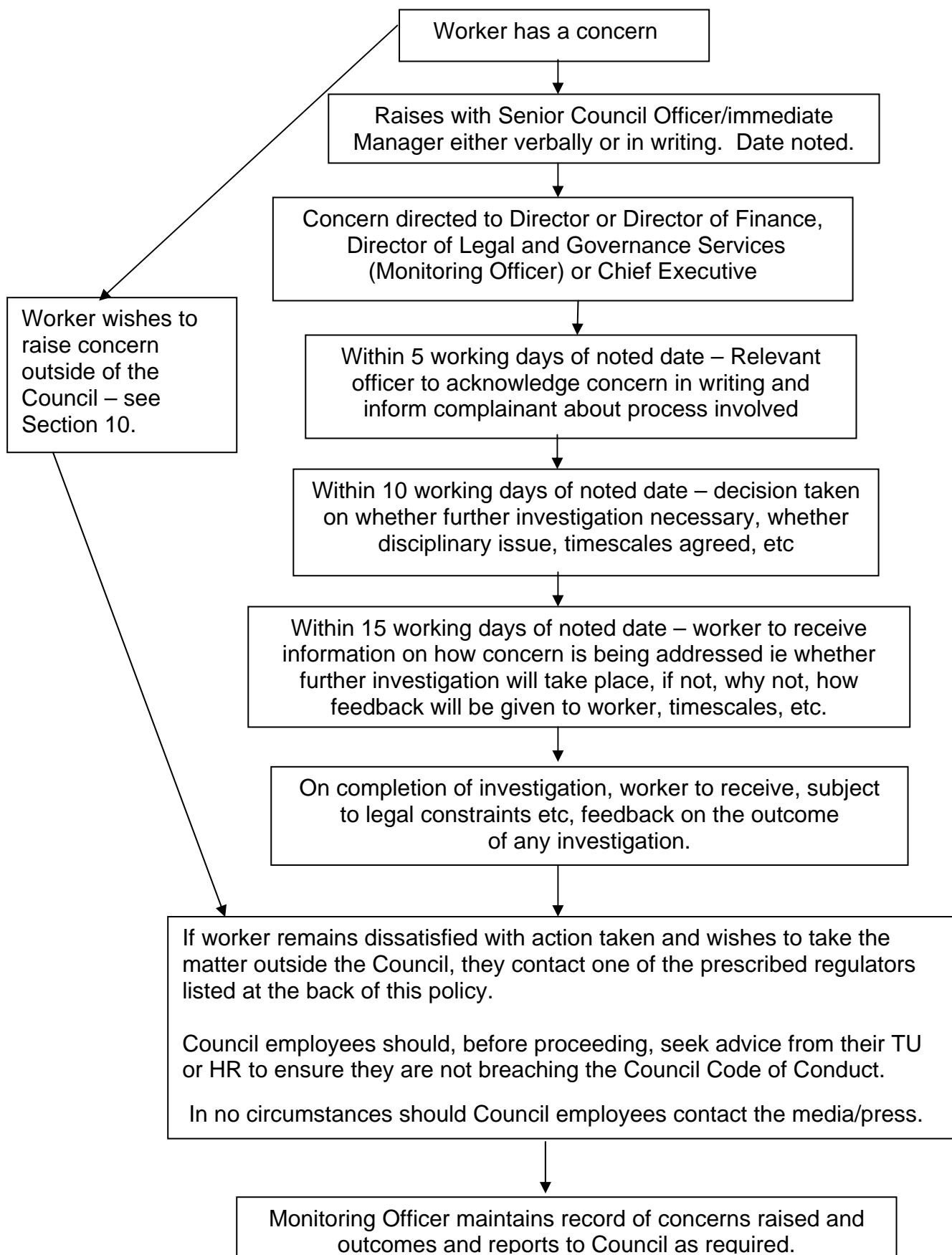
Where a concern is raised anonymously, these will be considered at the discretion of the Council taking into account the seriousness of the issues raised; the credibility of the concern; and the likelihood of confirming the allegation from attributable sources.

## **13. Untrue Allegations**

The Council expects that whistleblowing will be made in "good faith" and will treat abuse of the Whistleblowing procedure extremely seriously. The Council reserves the right to take appropriate action against the whistleblower if they are found not to be acting in good faith.

## **14. The Responsible Officer**

The Director of Legal and Governance Services who is the Council's Monitoring Officer, has overall responsibility for the maintenance and operation of this policy and procedure. This officer maintains a record of concerns raised and the outcomes and will report as necessary to the Council (but in a form which does not endanger confidentiality). All concerns raised through this policy and procedure should be reported to the Monitoring Officer by the manager with whom the concern was originally raised.





**APPENDIX 2**

This is an edited list of the Prescribed Regulators for England, Scotland and Wales - a copy of the full list is available on the Public Concern at Work website: [www.pcaaw.co.uk](http://www.pcaaw.co.uk)

Prescribed Regulator	Matters in respect of which regulator is prescribed
<p>The Charity Commissioners for England &amp; Wales            Liverpool Head of Operations            2nd Floor, 20 Kings Parade            Queens Dock            Liverpool L3 4DQ            Tel: 0870 3330123            Fax: 0151 703 1556  <a href="http://www.charity-commission.gov.uk">www.charity-commission.gov.uk</a></p>	<p>The proper administration of charities and of funds given or held for charitable purposes.</p>
<p>Independent Police Complaints Commission            90 High Holborn            London WC1V 6BH            Tel: 020 7166 3000  <a href="http://www.ipcc.gov.uk">www.ipcc.gov.uk</a></p>	<p>Matters relating to the conduct of a person serving with the police (as defined in section 12(7) of the Police reform Act 2002) or of any other person in relation to whose conduct the Independent Police Complaints Commission exercises functions in or under any legislation.</p>
<p>The competent authority under Part IV of the Financial Services and Markets Act 2000            Head of Listing Department            London Stock Exchange            Old Broad Street            London, EC2N 1HP            Tel: 020 7797 3884            Fax: 020 7334 8976</p>	<p>The listing of securities on a stock exchange; prospectuses on offers of transferable securities to the public</p>
<p>The Commission for Healthcare Audit and Inspection            Finsbury Tower            103-105 Bunhill Row            London EC1Y 8TG            Tel: 020 7448 9200  <a href="http://www.healthcarecommission.org.uk">www.healthcarecommission.org.uk</a></p>	<p>Matters connected with (a) the provision of health care for the purposes of the National Health Service (where "health care" has the same meaning as in section 45(2) of the Health and Social Care (Community Health and Standards) Act 2003), (b) the provision of independent health care services within the meaning of section 5A(8) of the Care Standards Act 2000, or (c) any activities not covered by (a) and (b) in relation to which the Commission exercises its functions.</p>
<p>The Commission for Social Care Inspection            33 Greycoat Street            London            SW1P 2QF            Tel: 020 7979 2000            Fax: 020 7979 2111  <a href="http://www.csci.org.uk">www.csci.org.uk</a></p>	<p>Matters relating to the provision of regulated social care services as defined in the Care Standards Act 2000, and the inspection and performance assessment of English local authority social services as defined in section 148 of the Health and Social Care (Community Health and Standards) Act 2003.</p>

<p>The Commissioners for Her Majesty's Revenue and Customs  Cross Cutting Policy  Room 1E/04  1 Parliament Street  London SW1A 2BQ  Freephone: 0900 595 000  Free fax: 0800 523 0506  E-mail: <a href="mailto:customs.confidential@hmrc.gov.uk">customs.confidential@hmrc.gov.uk</a></p>	<p>Value added tax, insurance premium tax, excise duties and landfill tax. The import and export of prohibited or restricted goods.  Income tax, corporation tax, capital gains tax, petroleum revenue tax, inheritance tax, stamp duties, national insurance contributions, statutory maternity pay, statutory sick pay, tax credits, child benefits, collection of student loans and the enforcement of the national minimum wage.</p>
<p>Comptroller and Auditor General of the National Audit Office  157-197 Buckingham Palace Road  Victoria  London SW1W 9SP  Tel: 020 7798 7999  <a href="http://www.nao.gov.uk">www.nao.gov.uk</a></p>	<p>The proper conduct of public business, value for money, fraud and corruption in relation to the provision of centrally funded public services.</p>
<p>Director General of Water Services  Office of Water Services  Centre City Tower  7 Hill Street  Birmingham B5 4UA  Tel: 0121 625 1300  Fax: 0121 625 1400  <a href="http://www.ofwat.gov.uk">www.ofwat.gov.uk</a></p>	<p>The supply of water and the provision of sewerage services.</p>
<p>The Director of the Serious Fraud Office  Elm House  10- 16 Elm Street  London WC1X 0BJ  Tel: 020 7239 7272  Fax: 020 7837 1689  <a href="http://www.sfo.gov.uk">www.sfo.gov.uk</a></p>	<p>Serious or complex fraud.</p>
<p>The Environment Agency  Rio House  Waterside Drive  Aztec West  Almondsbury  Bristol BS12 4UD  Tel: 0800 807060 (24 hour line)  or enquiries 01454 624400  Fax: 01454 624409  <a href="http://www.environment-agency.gov.uk">www.environment-agency.gov.uk</a></p>	<p>Acts or omissions which have an actual or potential effect on the environment or the management or regulation of the environment including those relating to pollution, abstraction of water, flooding, the flow of rivers, inland fisheries and migratory salmon or trout.</p>
<p>Food Standards Agency  Personnel and Establishments Division  Food Standards Agency  Room 111C, Aviation House  125 Kingsway, London WC2B 6NH  Tel: 020 7276 8120  Fax: 020 7276 8132  <a href="http://www.food.gov.uk">www.food.gov.uk</a></p>	<p>Matters which may affect the health of any member of the public in relation to the consumption of food and other matters concerning the protection of the interests of consumers in relation to food.</p>

<p>General Social Care Council Goldings House 2 Hays Lane London SE1 2HB Tel: 020 7397 5100 Fax: 020 7397 5145 <a href="http://www.gsccl.org.uk">www.gsccl.org.uk</a></p>	<p>Matters relating to the registration of social care workers under the Care Standards Act 2000.</p>
<p>Health and Safety Executive Caerphilly Business Park Caerphilly South Wales CF83 3GG Tel: 0845 345 0055 Fax: 0845 408 9566 <a href="http://www.hse.gov.uk/workers/whistleblowing">www.hse.gov.uk/workers/whistleblowing</a></p>	<p>Matters which may affect the health or safety of any individual at work; matters which may affect the health and safety of any member of the public arising out of, or in connection with, the activities of persons at work.</p>
<p>Housing Corporation Assistant Director Supervision Housing Corporation 149 Tottenham Court Road London W1T 7BN Tel: 020 7393 2000</p>	<p>The registration and operation of registered social landlords, including their administration of public and private funds and management of their housing stock.</p>
<p>Local Authorities (The local authority which under section 18 of the Health and Safety at Work etc Act 1974 is responsible for the enforcement of the relevant statutory provisions)</p>	<p>Matters which may affect the health or safety of any individual at work; matters which may affect the health and safety of any member of the public arising out of, or in connection with, the activities of persons at work.</p>
<p>Information Commissioner The Office of the Information Commissioner Wycliffe House Water Lane Wilmslow Cheshire SK9 5AF Tel: 01625 545700 Fax: 01625 524510 E-mail: <a href="mailto:mail@ico.gsi.gov.uk">mail@ico.gsi.gov.uk</a> <a href="http://www.informationcommissioner.gov.uk">www.informationcommissioner.gov.uk</a></p>	<p>Compliance with the requirements of legislation relating to data protection and to freedom of information*. (*Data protection legislation regulates the processing of information relating to individuals, including the obtaining, holding, use or disclosure of such information) (*Freedom of information legislation provides for the disclosure by public authorities of the information that they hold).</p>
<p>National Care Standards Commission St Nicholas Building St Nicholas Street Newcastle NE1 1NB Tel: 0191 233 3556 Email: <a href="mailto:enquiries@ncsc.gsi.gov.uk">enquiries@ncsc.gsi.gov.uk</a></p>	<p>Matters relating to the provision of regulated care services, as defined in the Care Standards Act 2000.</p>
<p>The Pensions Regulator Napier House Trafalgar Place Brighton BN1 4DW Tel: 0870 6063 636 Textphone: 0870 2433 123</p>	<p>Matters relating to occupational pension schemes and other private pension arrangements.</p>

<p>Fax: 0870 2411144  <a href="http://www.thepensionsregulator.gov.uk">www.thepensionsregulator.gov.uk</a></p>	
<p>Standards Board for England  1st Floor  Cottons Centre  Cottons Lane  London SE1 2QL  Tel: 0845 078 8181  <a href="http://www.standardsboard.co.uk">www.standardsboard.co.uk</a></p>	<p>Breaches by a member or co-opted member of a relevant authority (as defined in section 49(6) of the Local Government Act 2000) of that authority's code of conduct.</p>
<p>HM Treasury  Insurance Directorate  Parliament Street  London SW1P 3AG  Tel: 020 7270 1720  Fax: 020 7270 4694</p>	<p>The carrying on of insurance business.</p>
<p>Secretary of State for Trade and Industry  Vetting Section  Companies Investigation Branch  Department of Trade and Industry  10 Victoria Street  London  SW1H 0NN  Tel: 020 7215 3120  Fax: 020 7215 3112  Consumer Affairs Directorate  V418  Department of Trade and Industry  1 Victoria Street  London SW1H 0ET  Tel: 020 7215 5496  Fax: 020 7215 0339</p>	<p>Fraud and other misconduct in relation to companies, investment business, insurance business, or multi-level marketing schemes (and similar trading schemes); insider dealing.</p>
<p><b>LOCAL AUTHORITIES WHICH HAVE RESPONSIBILITY FOR ENFORCEMENT OF CONSUMER PROTECTION LEGISLATION</b></p>	<p>Compliance with the requirements of consumer protection legislation.</p>
<p>Local authorities which are responsible for the enforcement of food standards</p>	<p>Compliance with the requirements of food safety legislation.</p>