



FOUNDRY COLLEGE

WHISTLE BLOWING POLICY

Document Control Information

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| Reviewed | 12/07/2024 |
| Responsibility | Iain Thomas |
| Committee | Resources |
| Review Date | December 2025 |
| Signed | Management Committee |

| Version | DATE | DESCRIPTION |
|---------|------------|--|
| 6 | 12/03/2018 | WBC contact details updated |
| 7 | 11/06/2020 | Reviewed, role titles updated |
| 8 | 16/06/2021 | Reviewed and no changes |
| 9 | 18/05/2022 | Reviewed and updated with additional statements as tracked |
| 10 | 14/06/2023 | Reviewed and no changes |
| 11 | 12/07/2024 | Reviewed and no changes |

1.0 Introduction

- 1.1 Foundry College is committed to delivering high quality services and expects high standards from its employees and contractors. In order to maintain those high standards a culture of openness and accountability is vitally important. The aims of this policy are:
- to encourage you to raise concerns about malpractice within the organisation without fear of reprisal;
 - to reassure you that your concerns will be taken seriously; and
 - to provide information about how to raise your concerns and explain how the college or Council will respond.
- 1.2 This policy applies to all college employees, former employees, agency staff and contractors engaged by the college.
- 1.3 Wokingham Borough Council staff should refer to the Wokingham Borough Council Whistleblowing Policy.
- 1.4 This policy does not form part of any employee's contract of employment and it may be amended at any time.

2.0 What is whistleblowing?

- 2.1 In practical terms, whistleblowing occurs when a concern is raised about danger or illegality that affects others, e.g. clients, members of the public, or the college itself. As the person "blowing the whistle", you would not usually be directly affected by the danger or illegality. Consequently, you would rarely have a personal interest in the outcome of any investigation into your concerns. This is different from a complaint or grievance. If you make a complaint or lodge a grievance, you are saying that you personally have been poorly treated. This poor treatment could involve a breach of your individual employment rights or bullying and you are entitled to seek redress for yourself. A qualifying disclosure means any disclosure of information that, in the reasonable belief of the worker is made in the public interest. As a result of this employees will generally be precluded from being able to "blow the whistle" about breaches of his or her employment contract. Although an employee making such a complaint can still use the college's grievance policy or complaints procedure as appropriate.
- 2.2 Examples of whistleblowing concerns are:
- fraud in, on or by the college or Council;
 - offering, taking or soliciting bribes;
 - unauthorised use of public funds;
 - financial maladministration;
 - the physical, emotional or sexual abuse of pupils/clients or anybody else;
 - failure to comply with legal obligations;
 - endangering of an individual's health and safety;
 - damage to the environment;
 - a criminal offence;
 - failure to follow financial and contract procedure rules;
 - showing undue favour or antagonism to a contractor or a job applicant;

- misreporting performance data; or
- neglect of people in care.

2.3 This Policy does not replace the college's complaints or grievance procedures.

3.0 Who should I contact?

3.1 Having considered this Policy, an employee of the college, or any other person covered by the Public Interest Disclosure Act (PIDA) 1998, who has serious concerns about any aspect of the college's or Council's work, should in the first instance raise their concerns using one of the following methods:

- **Inform Line Manager or Headteacher**

In many cases, raising concerns with the immediate line manager is the most appropriate route for an employee. The line manager should inform the Headteacher of the disclosure and an appropriate course of action will be agreed. If this is not a suitable option (for example because the issue may implicate the manager or if the concern has been raised but remains unaddressed) the concern should be raised directly with the Headteacher.

- **Chair of Management Committee**

If an employee's concern is about the Headteacher, this should be raised with the Chair of Management Committee on chair@foundry.wokingham.sch.uk

- **Dedicated Whistleblowing Communication Channels**

- Wokingham Borough Council has established a dedicated 24 hour answer phone hotline for receiving disclosures. The hot line number is 0118 974 6550;
- Email to confidential.whistleblowing@wokingham.gov.uk;
- Post addressed to Confidential Whistleblowing, Business Assurance, Shute End, Wokingham, RG40 1BN; or
- In person at Shute End by asking for Business Assurance at reception.

Matters should be dealt with internally. However, if you do not feel able to raise them internally, or if they have raised them internally but you are not satisfied with how it has been dealt with, you can contact the Director of Children's Services at Wokingham Borough Council on 0118 974 6055 to seek guidance on how to proceed.

4.0 Legal Protection

4.1 The Public Interest Disclosure Act (PIDA) 1998 sets out a framework of protection against victimisation or dismissal for workers who blow the whistle ("disclosure") on criminal behaviour and other specified forms of malpractice. The law protects workers who act in the public interest and who reasonably believe that the wrongdoing or malpractice falls within one of the categories in paragraph 4.2 below. This will amount to a 'protected disclosure'.

4.2 It applies to making a 'protected' disclosure in respect of specific types of malpractice, which are:

- a. that a criminal offence has been committed, is being committed or is likely to be committed;

- b. that a person has failed, is failing or is likely to fail to comply with any legal obligation to which he is subject;
- c. that a miscarriage of justice has occurred, is occurring or is likely to occur;
- d. that the health or safety of any individual has been, is being or is likely to be endangered;
- e. that the environment has been, is being or is likely to be damaged; or
- f. that information tending to show any matter falling within any one of the preceding paragraphs has been, is being or is likely to be deliberately concealed.

4.3 The Act covers internal disclosures to the college or Wokingham Borough Council as the employer, disclosures to prescribed 'persons' such as regulatory bodies (e.g. for health and safety issues, the Health and Safety Executive), and wider disclosures, for example to the police and the media.

5.0 Raising Concerns outside the college or Council

5.1 In certain circumstances it may be appropriate to raise concerns outside the college or Council to the appropriate 'prescribed regulator'. This should only be done where you are raising a genuine concern in good faith and where you believe the information is true, i.e. more than just suspicion. You are advised to discuss your concerns with a legal advisor, trade union or the charity "Public Concern at Work" before reporting them outside the college or Council. Examples of prescribed regulators are set out below:

- The Audit Commission;
- The Standards Board for England;
- Information Commissioner;
- Environment Agency;
- Health and Safety Executive;
- Commissioner of the Inland Revenue;
- Ofsted;
- General Social Care Council;
- Care Quality Commission;
- The Commission for Social Care Inspection; and
- National Care Standards Commission.

5.2 As a last resort you may choose to raise your concern outside the college or Council to someone other than a prescribed regulator, e.g. to the police or your MP. You should only do this if, in addition to the conditions above, they meet one of three preconditions. Provided the disclosure is reasonable in all the circumstances and is not made for personal gain, the preconditions are that you:

- reasonably believed that you would be victimised if you raised the matter internally within the college or Council; or
- reasonably believed that the matter would be 'covered up' and there is no prescribed regulator; or
- have already raised the matter internally or with a prescribed regulator

5.3 It should be noted that wider disclosures (i.e. to the media) can only be protected where there is a justifiable cause for going wider and where the particular disclosure is reasonable. The college therefore encourages concerns to be raised initially using one of the methods described in section 3 of this Policy.

6.0 Making a protected disclosure

6.1 This policy is intended to allow the internal investigation and resolution of any concerns raised. In accordance with the PIDA 1998, to make a 'protected' disclosure the whistleblower has to meet certain conditions:

- Disclosure to the college or Council will be protected if it is made in good faith and the whistleblower has a reasonable suspicion that the alleged malpractice has occurred, is occurring or is likely to occur.
- Disclosure to a regulatory body will be protected where, in addition, the whistleblower honestly and reasonably believes that the information they provide and any allegation contained in it are substantially true.
- Disclosure to other external bodies will be protected if, in addition, making it is in all respects reasonable. 'In all respects reasonable' means, in effect:
 - the disclosure is not made for personal gain;
 - the whistleblower reasonably believed that they would be victimised if they raised the matter internally;
 - there is no relevant regulatory body;
 - the whistleblower reasonably believed that evidence was likely to be concealed or destroyed;
 - the concern has already been raised with the employer and/or relevant regulatory body; and
 - the concern is of an 'exceptionally serious' nature – which in a local government setting could include, say, the alleged abuse of children or vulnerable adults in an authority's care.

6.2 This may be done orally or in writing. If you are writing, remember to give details of how you can be contacted. Anonymous disclosures present difficulties for effective investigation. Your name will not be revealed without your consent, unless required by law. However, the college recognises that despite the dual safeguards of confidentiality and legal protection from recrimination that individuals may still feel unable to reveal their identity. In these situations, individuals can report their concerns anonymously, but should be aware that these concerns carry less weight with the investigation teams and the disclosure may not be sufficiently detailed to provide a successful investigation.

6.3 Allegations that are malicious, or allegations made for personal gain, may result in action against the person making them. If an allegation is made in good faith, but is not confirmed by an investigation, no action will be taken against the person who raised the concern.

6.4 It is preferable that a whistleblowing concern be raised as soon as there is reasonable suspicion. Employees are not expected to investigate the matter themselves or prove that their concern is well-founded.

6.5 The college recognises that the decision to report a concern can be difficult. If you report the concern in good faith, the college will not tolerate any harassment or victimisation against you. Any employee who is found to have victimised or harassed an employee who raised a concern will face disciplinary action.

6.6 Anyone who has made a protected disclosure will not suffer any detriment as a result of raising their concern unless it is later proved that they knew they were providing false information. In addition, whistleblowers are protected from suffering a detriment, bullying

or harassment from another worker. Examples that could amount to a detriment include (but are not limited to):

- a) failure to promote, if linked to the disclosure;
- b) denial of training;
- c) closer monitoring;
- d) ostracism;
- e) blocking access to resources;
- f) unrequested re-assignment or re-location;
- g) demotion;
- h) suspension;
- i) disciplinary sanction;
- j) bullying or harassment;
- k) victimisation;
- l) dismissal;
- m) failure to provide an appropriate reference; or
- n) failing to investigate a subsequent concern.

7.0 How will the college respond?

7.1 The action taken by the college will depend on the nature of the concern. The matters raised may:

- be investigated internally or by Wokingham Borough Council;
- be referred to the Police;
- be referred to the external auditors (the Audit Commission);
- form the subject of an independent inquiry; or
- be considered a service issue and referred to the service to respond by any combination of the above.

7.2 In ALL cases, where a concern is raised, the contacted officer shall notify the Monitoring Officer (Director of Electoral Services) and the Section 151 Officer (Strategic Director, Resources). These officers will assess the nature of the concern in conjunction with the Business Assurance Manager to decide the appropriate response. Some concerns may be resolved by agreed action without the need for investigation.

7.3 Feedback on the outcome of the concern will be given to the person raising the concern. This feedback may be limited due to legal obligations of confidentiality (i.e. if disciplinary action is taken against a college employee). The person raising a concern should normally be told:

- a) how and by whom a concern will be handled;
- b) an estimate of how long an investigation will take;
- c) the outcome of the investigation (where appropriate);
- d) that if they believe they are suffering detriment as a result of raising the concern that they should report it;
- e) that he or she is entitled to independent advice.

8.0 What if I am dissatisfied with the college's response?

8.1 This policy is intended to provide you with an avenue to raise concerns within the college or Council. However, if at the end of the process an employee of the college, or any other person covered by the Act, is not satisfied with how a disclosure has been dealt with and wishes to pursue matters by means of a wider disclosure, the following points of contact are available to you:

- your local Council Member (if you live in the area of the borough);
- Wokingham Borough Council's external auditors (Ernst and Young); relevant professional bodies or regulatory organisations;
- relevant inspection body;
- your solicitor; or
- the Police.

8.2 If you do decide to take the matter outside of the college or Council, you need to ensure that you do not disclose confidential information and that you are 'protected' in accordance with the PIDA 1998 (refer to section 6.0 of this Policy). If you wish to raise a concern outside of the college, you may raise it with an external body from the list of prescribed persons and bodies detailed in the 'Department for Business Innovation & Skills 'Blowing the Whistle to a Prescribed Person' document: <https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2>. You should seek your own advice if you are unsure about whether to raise the matter outside of the college.

9.0 Further information and advice

9.1 Independent advice on 'whistleblowing' can also be obtained from the charity Public Concern at Work and from the Audit Commission. Contact details for these organisations are:

- Public Concern at Work
Suite 306, 16 Baldwins Gardens, London EC1N 7RJ
Helpline: 020 7404 6609 Email: helpline@pcaw.co.uk
- Audit Commission
1 Vincent Square, London SW1P 2PN
Telephone: 020 7828 1212 Email: enquiries@audit-commission.gov.uk
- Professional Body or Trade Union
- Ernst and Young
Helen Thompson
Wessex House, 19 Threefield Lane, Southampton, SO14 3QB, United Kingdom
hthompson2@uk.ey.com 07974 007332

If you are a member of a professional body or trade union, they should be able to advise on Whistleblowing.