

Confidential Reporting Of Concerns ("Whistleblowing")

Review Log:

This policy is to be reviewed annually.

Updated by:	Approved by:	Date:	Review Date:
C Medwell			

Confidential Reporting Of Concerns ("Whistleblowing")

1 Purpose

The purpose of this policy is to promote and protect responsible and genuine whistleblowing where staff, workers, contractors, suppliers or volunteers have concerns about malpractice or impropriety in the workplace.

We are committed to running Shape House Doncaster with honesty and integrity and we expect all staff to maintain high standards. Any suspected wrongdoing should be reported as soon as possible. This policy should be read in conjunction with our other policies, including our safeguarding policy.

2 Roles and responsibilities

- **Staff, Workers, Contractors, Suppliers and Volunteers:** The policy applies to all Shape House employees and includes those contractors providing a service working for Shape House or other organisations working on xxxx premises. It also covers suppliers and those providing service under a contract with Shape House.
- **Director:** Normally responsible for investigating and responding to concerns raised.
- **External agencies:** A range of external agencies can provide advice and support to individuals with a concern.

3 Policy statement

This policy reflects Shape House's commitment to safeguarding children and young people, good working practices and systems, valuing staff and seeking continuous improvement in service delivery.

An important aspect of accountability and transparency is a mechanism to enable staff to voice concerns in a responsible and effective manner. It is an important term of every contract of employment that an employee will faithfully serve his or her employer and not disclose confidential information about the employer's affairs. Nevertheless, where an individual discovers information which they believe shows serious malpractice or wrongdoing within the organisation then this information should be disclosed internally without fear of reprisal, and there should be arrangements to enable this to be done and this is the purpose of this policy.

It should be emphasised that this policy is intended to assist individuals who believe they have discovered malpractice or impropriety. It is not designed to

just question financial, service delivery or business decisions taken nor should it be used to reconsider any matters which have already been / or should be addressed under other procedures eg complaints, disciplinary, grievance, dignity at work etc. With the establishment of the "whistleblowing" policies and procedures, it is reasonable to expect staff to use them rather than air their complaints outside the organisation.

The wrongdoing or concern disclosed under this policy must be in the public interest. This means it must normally affect others, eg the general public. Usually individual or personal grievances are not technically covered by whistleblowing legislation, unless the particular case is in the public interest.

Employees are often the first to realise that there may be something wrong within the organisation. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to their employer. They may also fear harassment or victimisation. In these circumstances it may be easier to ignore the concern rather than to report it. However, Shape House is committed to the highest possible standards of openness, probity and accountability. In line with that commitment we expect employees and others that we deal with who have concerns about any aspect of our work to come forward and voice those concerns. It is recognised that most cases will have to proceed on a confidential basis.

This policy document makes it clear that you can do so without fear of victimisation, subsequent discrimination or disadvantage. The policy is intended to encourage and enable employees to raise concerns **within** rather than overlooking a problem or "blowing the whistle" outside the organisation.

4 Aims of this policy

This policy aims to:

- Make you feel confident to raise concerns and to question and act upon concerns about practice
- Give you avenues to raise your concerns and receive feedback on any action taken
- Guarantee that you receive a response to your concerns and ensures that you are aware of the process to follow if you are not satisfied
- Reassure you that you will be protected from possible reprisals or victimisation

There are existing procedures in place if you have a grievance relating to your own employment or consider that you are being harassed (due to your race, sex, disability, sexual orientation, religion or belief or age) or if you are concerned about health and safety risks, including risks to the public as well as to other employees. Indeed you are under a legal obligation (in accordance with health and safety policy statements) to report to your supervisor or manager any work situation which you consider to represent:

- A danger to the health and safety of yourself, fellow employees or members of the public
- A shortcoming in the xxxx's arrangements for health and safety

If you are reluctant to raise such health and safety concerns with your supervisor or manager, or if you have raised them and are concerned about the response, then arrangements exist for you to raise health and safety concerns with the Director.

This policy is intended to cover concerns that fall outside the scope of other procedures (or where it is considered that the relevant policy or procedure has not been followed) for example:

- Practices which fail to safeguard children or young people including the sexual or physical abuse of service users
- Conduct which is an criminal offence or a breach of law
- Disclosures related to miscarriages of justice
- Health and safety risks, including risks to the public as well as other employees
- Damage to the environment
- Unauthorised use of public funds
- Financial, malpractice, fraud and corruption
- Any attempt to prevent disclosure of any of the above
- Other conduct which gives you cause for concern

Therefore, any serious concerns that you have about any aspect of service provision or the conduct of staff, or others acting on behalf of the xxxx can be reported under this policy. This may be about something that:

- Makes you feel uncomfortable in terms of known standards, your experience or the standards you believe Shape House subscribes to
- Is against Shape House policies
- Falls below established standards of practice as outlined in the Code of Conduct for Staff
- Amounts to improper conduct

This policy supplements and does not replace the Complaints Procedure, Grievance Procedure and other procedures.

5 Safeguards for complainants

6.1 Harassment or victimisation

The Director is committed to good practice and high standards and aim to be supportive of their staff.

They recognise that the decision to report a concern can be a difficult one to make. However uncovering malpractice will be doing a service to the Provision. You will be doing your duty to your employer and those for whom you are providing a service.

The Director will fulfil their responsibilities to ensure that you are not harassed, victimised or otherwise disadvantaged as a result of making a disclosure. Any allegation concerning an employee who engages in any form of victimisation or harassment against you as a result of you raising a concern will be the subject of a thorough investigation and disciplinary action will be taken if such an allegation is substantiated. Any Senior Leader who engages in any form of victimisation or harassment against you as a result of raising a concern may be subject to the appropriate sanction.

However, allegations by an employee who is the subject of disciplinary investigations or proceedings concerning the conduct of those proceedings can raise these matters at a disciplinary hearing and /or through the disciplinary appeals processes.

6.2 Confidentiality

All concerns will be treated in confidence wherever possible and every effort will be made to preserve your anonymity, if you so wish. You may need however to come forward as a witness, but if you wish to be supported by a representative of your choice then this would be available to you.

6.3 Anonymous allegations

This policy encourages you to put your name to your allegation whenever possible.

Concerns expressed anonymously are much less powerful but they will be considered so far as is possible or practicable by Shape House

Untrue allegations

If you make an allegation or disclosure this should be made in good faith based on reasonable belief that it is in the public interest.

If you make an allegation or disclosure, falsely or maliciously, or which is found to be fabricated, or for personal gain, disciplinary action could be taken against you, including dismissal, in very serious cases.

6 How to raise a concern

As a first step you should raise concerns with your Line Manager or Director. This depends however on the seriousness and sensitivity of the issues involved and who is suspected of the malpractice. For example, if you believe that your Director is involved approach the independent accountability partner.

Directors who have concerns about a member of staff should follow appropriate procedures in relation to specific areas of concern.

If the concern relates to financial irregularities or failures of financial controls the Director receiving the report must immediately notify the Director of Finance and Operations.

Concerns may be raised verbally, but preferably in writing.

Reports should be sent to your immediate manager, the Director, or the independent accountability partner as appropriate.

The earlier you express the concern, the easier it will be to take action.

You can receive confidential, independent advice from the charity Protect, formerly known as Public Concern at Work (PCaW), who provide free confidential advice on 020 3117 2520 or at www.protect-advice.org.uk/

7 How your concern will be dealt with

The Director, will respond to your concerns, and it will be necessary to investigate them fully.

Within 5 working days of a concern being raised, you will be sent a written acknowledgement of the concern which has been raised:

- acknowledging that the concern has been received
- indicating how it is proposed to deal with this matter

- giving an estimate of how long it will take to investigate and provide a final response
- telling you whether any enquiries have been made
- supply you with information on staff support mechanisms

Where appropriate, matters raised may:

- be investigated by the Director or an independent consultant
- be referred to the police or other statutory agencies
- be referred to the external auditor

In order to protect individuals and those about whom concerns are raised, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. 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.

Some concerns may be resolved by agreed action without the need for investigation. If urgent action is required this will be taken before any investigation is conducted.

The amount of contact between you and the individual considering the issues will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, the investigating officers will seek further information from you.

Where any meeting is arranged, and this can be off-site if you so wish, you can be accompanied by a trade union or professional association representative or a fellow worker.

The Director, as appropriate, will take steps to minimise any difficulties which you may experience as a result of raising a concern. For instance, if you are required to give evidence in criminal or disciplinary proceedings your employer will arrange for you to receive advice about the procedure.

The Director accepts that you need to be assured that the matter has been properly addressed. Thus, subject to legal constraints, you will be informed of the outcome of any investigation.

8 The responsible officer

The Director will assume the overall responsibility for the maintenance and operation of this policy.

The responsible officer maintains a record of concerns raised and the outcomes (but in a form which does not endanger your confidentiality, if appropriate) and may report as necessary to the employer but in such a way that your confidentiality will as far as possible, be preserved.

It is the responsibility of any manager who receives a whistleblowing report to copy the report immediately to the Director. They must also be given a copy of the report outlining the outcome(s) of any investigation and any actions instigated as a result.

9 How the matter can be taken further

This policy is intended to provide you with an avenue within the employer to raise concerns. The employer hopes you will be satisfied with any action taken. If you are not satisfied with the outcome of your confidential report you can write to the independent accountability partner and ask for the investigation and outcome to be reviewed.

If you remain dissatisfied, and you feel it is right to take the matter outside of your employer, you may wish to take advice from your trade union, your local Citizens Advice Bureau or your legal advisor on the options that are available to you.

One possibility is that you may wish to rely on your rights under the Public Interest Disclosure Act 1998. This Act gives you protection from victimisation if you make certain disclosures of information in the public interest. The provisions are quite complex and include a list of prescribed persons outside the employer who can be contacted in certain circumstances. You may wish to seek advice on the effect of the Act from the persons referred to above.

If you do take the matter outside of employer, you should ensure that you do not disclose information where you owe a duty of confidentiality to persons other than the employer (e.g. service users) or where you would commit an offence by making disclosure. You may wish to get advice from a third party e.g. trade union, Citizens Advice Bureau, etc.

If for any reason you do not wish to use the internal arrangements set out above, or require additional support and advice again please contact Protect, formerly

known as Public Concern at Work (PCaW), who provide free confidential advice on 020 3117 2520 or at www.protect-advice.org.uk/

Further advice about your rights can be provided by Citizens Advice on 0800 144 8848 or at <https://www.citizensadvice.org.uk/>

10 Monitoring the policy

It will be reviewed on a regular basis to ensure it is appropriate in light of recommended best practice and complies with statutory regulations. In the event of any conflict with statutory regulations, the legal provisions will have precedence over this procedure in all cases.

POLICY FOR CONFIDENTIAL REPORTING OF CONCERNS ("WHISTLE BLOWING") REPORT FORM

As employer we are committed to the highest possible standards of openness, probity and accountability. In line with that commitment we expect employees and others that we deal with who have concerns about any aspect of our work to come forward and voice those concerns.

It is recognised that many cases will have to proceed on a confidential basis. If you wish to make a report please use this pro-forma.

(Please attach additional sheets if necessary)

1. Background and history of the concern (giving the relevant dates).

2. The reasons why you are particularly concerned about the situation.

3. You are encouraged to put your name to this report. Concerns expressed anonymously are much less powerful but they will be considered so far as is possible by the Prosper Learning Trust. If you feel able to, please give your name and details below.

Name:.....

Position.....

Work

Location:.....

Contact Telephone Number:.....

Email

Date

Please send this form to your Line Manager / Director /