



WHISTLEBLOWING AT WORK: POLICY (WCC)

(Public Interest Disclosure Act 1998)

CLICK [HERE](#) FOR A SIMPLE OVERVIEW OF THE PROCESS

CLICK [HERE](#) FOR QUICK REFERENCE TO KEY ELEMENTS OF THE POLICY



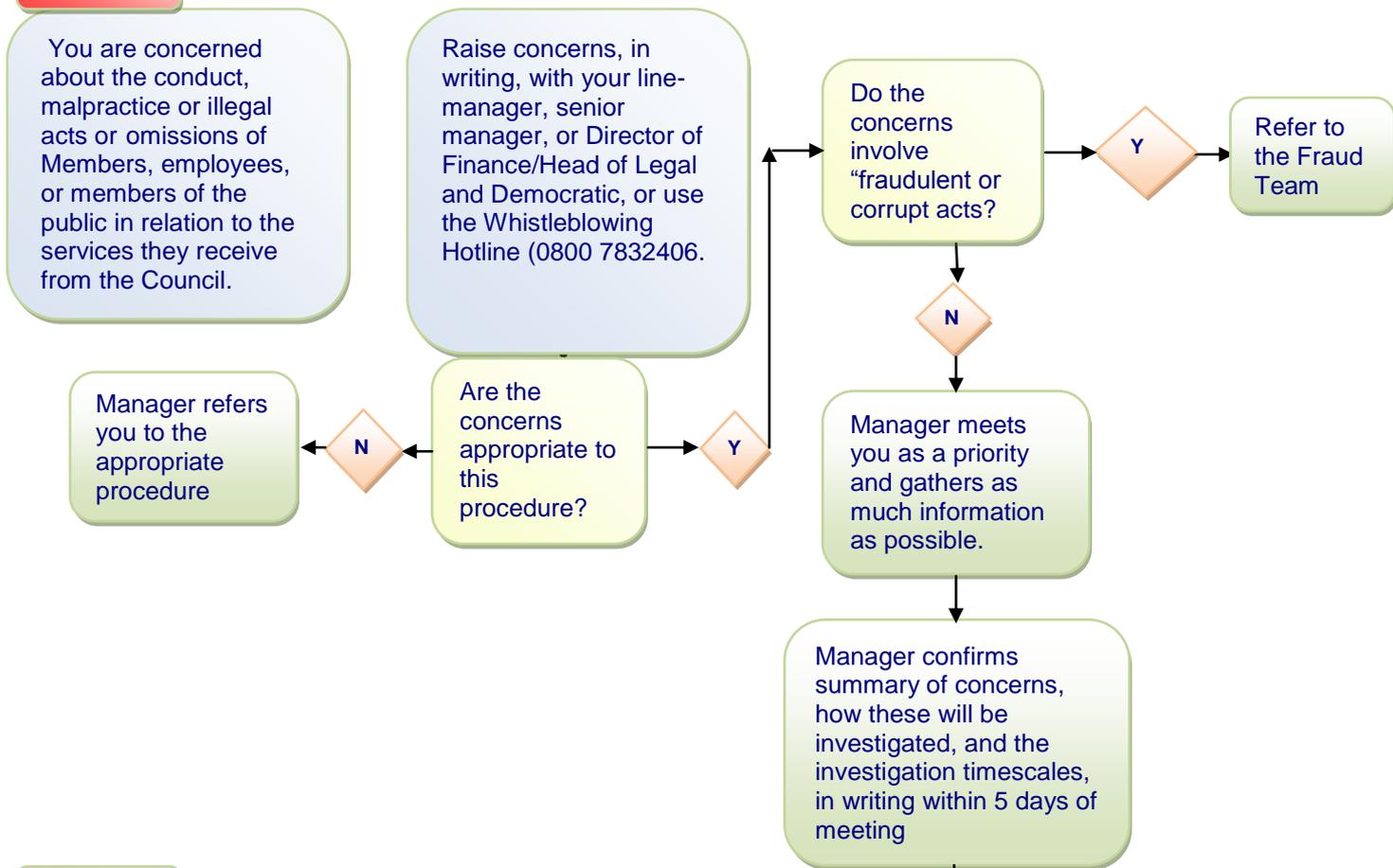
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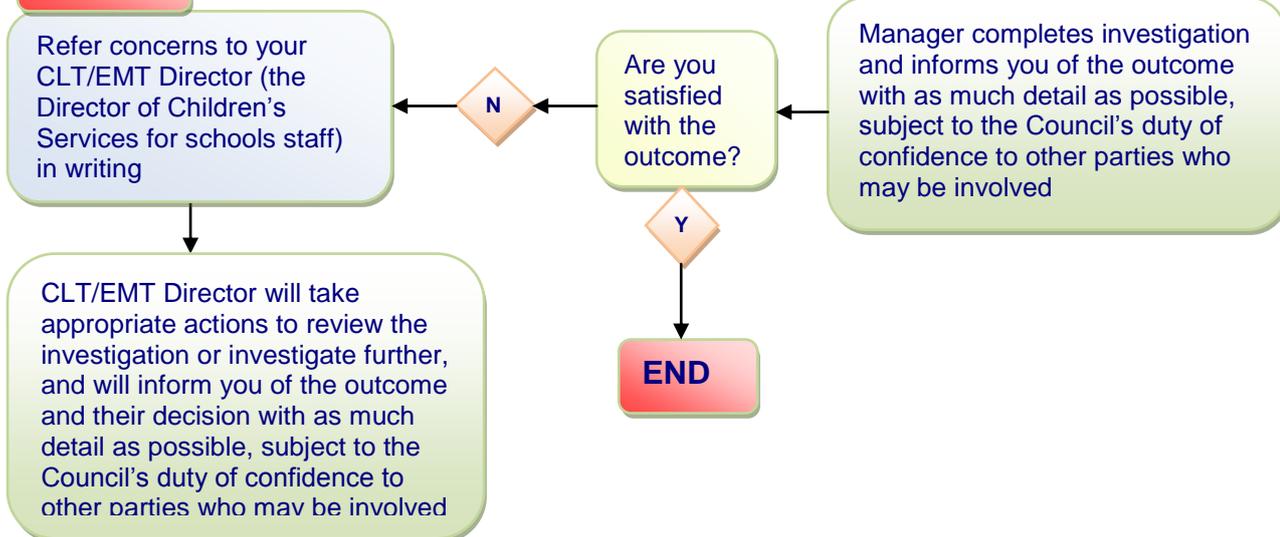
Date of Issue	Date of last issue	Review Date
April 2016	April 2015	April 2017

Overview of the process

STEP 1



STEP 2



QUICK REFERENCE

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Whistleblowing at Work Procedure

SUMMARY

The City Council is committed to achieving the highest possible standards of service and ethics in public life and in all its activities. Council employees are encouraged to bring to their managers' attention any misconduct, suspected misconduct, malpractice or illegal acts or omissions by Members, employees, or by members of the public in relation to the services they receive from the City Council. This whistleblowing policy has been developed so that employees will know how to raise concerns in the right way at an early stage, and managers understand their responsibilities in relation to allegations of misconduct and impropriety. For the avoidance of doubt, reference to Council employees includes all staff employed in schools which are maintained by the Council, including voluntary aided schools.

For concerns to qualify as a 'protected disclosure' under legislation (Public Interest Disclosure Act 1998 as amended by the Enterprise and Regulatory Reform Act 2013) there must be:

- 1) a disclosure of information
- 2) which in the reasonable belief of the person making the disclosure is in
 - a) the public interest, and
 - b) shows that:
 - i. a criminal offence has been committed, is being committed or is likely to be committed;
 - ii. a person has failed, is failing or is likely to fail to comply with any legal obligation to which they are subject;
 - iii. a miscarriage of justice has occurred, is occurring or is likely to occur;
 - iv. the health or safety of any individual has been, is being or is likely to be endangered;
 - v. the environment has been, is being or is likely to be damaged;
 - vi. 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.

Employees who raise concerns as qualifying 'protected disclosures', are protected by law (under the Public Interest Disclosure Act 1998 as amended by the Enterprise and Regulatory Reform Act 2013) from any victimisation for having raised these issues.

Employees of the Council's partners and contractors are also encouraged to use these procedures to bring any misconduct, or suspected misconduct, malpractice or illegal acts or omissions by Members, the Council's employees, or by partners'/contractors' employees in relation to the provision of services on behalf of the Council, to the attention of appropriate Council managers. Council partners and contractors will be required to bring this procedure to the attention of their employees.

This policy should be read in conjunction with the Council's [Anti-Fraud, & Corruption Strategy](#) and the Anti-Bribery Policy

Employees who have concerns or complaints in relation to their own contracts of employment or terms and conditions should raise a grievance under the council's [Dignity at Work policy](#).

When should this policy be used?

This policy should be used when employees have concerns that the interests of others or the Council (and therefore its residents) are at risk e.g.

- Criminal activities and any activities, suspected or ongoing, which may break the law (including fraud, any form of child abuse, or the abuse of other vulnerable clients)
- Disregard for legislation, Council rules, policies and procedures
- The mistreatment of a service user which may endanger the health and safety of that service user.
- This list is not exhaustive

What Protection will employees have?

Employees raising issues, and managers investigating them, will suffer no detriment as a result, of the disclosure. The City Council will not tolerate any harassment or victimisation of a whistleblower (including informal pressures), and will treat this as a serious disciplinary offence, which will be dealt with under the Disciplinary Code. An employee whose concerns are raised under this procedure but referred for investigation under another procedure (e.g. the anti-fraud policy) will receive the same protection from victimisation under the Public Interest Disclosure Act 1998.

How will any concerns raised under this policy be dealt with?

- An employee can raise concerns orally or, preferably, in writing.
- Any concerns raised by an employee will be dealt with promptly.
- The concerns will be considered as thoroughly as possible by the most relevant person, whether this be an internal manager or some appropriate external official or organisation delegated by the Council.
- Employees have the right to seek assistance and advice from trade union representatives or Council colleagues; and to be accompanied by a trade union representative or Council colleague at all meetings held under this procedure.
- The Council will not tolerate complaints which are deliberately made without substance, or are frivolous or malicious. Such cases will be dealt with very seriously and formal disciplinary action may be considered under the Council's Disciplinary Code.

This policy does not restrict employees' rights to raise their concerns outside the Council (e.g. the Audit Commission, the Environment Agency, the Health and Safety Executive or the police), but is intended to facilitate speedy internal investigation and resolve employees' concerns, so that they do not feel the need to refer to external agencies.

What must managers do?

You must:

- deal promptly and fairly with any concerns raised under this policy in accordance with the procedure set out in Appendix 1;
- make sure that the employee's concerns are appropriate for consideration under this policy as against another procedure (e.g. Council's anti-fraud policy, strategy and response plan; grievance or disciplinary procedures). If the concerns are not appropriate to this policy, refer them to the correct procedure;
- immediately refer matters concerning fraud and/or corrupt acts to the Fraud Team;
- support and facilitate the employee in pursuing whistleblowing concerns;
- maintain confidentiality throughout any proceedings;
- as far as possible, withhold the identity of the employee who has raised the concerns, if the employee has so requested. (Managers may be obliged in some circumstances to reveal the name of the employee who raised concerns, in which event the situation should be discussed with the employee before proceeding.);
- keep the employee apprised of progress in investigating and resolving their concerns;
- advise the employee that they have the right to bring a trade union representative or a Council colleague to any meetings under this policy;
- implement any actions/recommendations arising from the investigation into the employee's concerns;
- not allow the employee to suffer any detriment as a result of raising their concerns (to do so would be unlawful under the Public Interest Disclosure Act 1998); and
- investigate anonymous complaints as far as practicable.

What should an employee that has concerns covered by this policy do?

You must

- raise concerns (orally or in writing) in confidence with their managers (or their manager's manager if it is inappropriate to raise the concerns with their immediate line-manager) at the earliest possible moment. In exceptional circumstances, employees may raise concerns with a manager who is outside their service; in these cases they should:
 - use the Whistleblowing Hotline (0800 783 2406) to report concernsor approach
 - the Director of Finance or
 - the Head of Legal and Democratic

- immediately refer matters concerning fraud and/or corrupt acts to the Fraud Team (fraud hotline on 0800 783 2406; on-line (If there is any doubt, proceed under this procedure and the manager will refer the matter if appropriate.);
- never carry out their own investigation;
- assist with any investigation into their concerns, including attendance at meetings, replying to requests for information, and providing signed statements as appropriate;
- immediately pass any evidence to the investigating manager/ official;
- follow the stages of the procedure in sequence;
- always act honestly when raising and pursuing concerns through this policy; and
- inform the investigating manager/official if they have a personal interest in the matters under investigation.

(On rare occasions (e.g. employees want to report issues involving more than one department), concerns can be raised directly with the Chief Executive or the Chairman of the Council's Standards Committee.)

Employees are encouraged to raise "whistleblowing" concerns in the first instance via this policy rather than going straight to external agencies. Reporting concerns to e.g. the press, may seriously undermine any investigation into the issues of concern. Advice can be obtained from a trade union representative or "Public Concern at Work" (phone: 020 7404 6609; web: www.pcaaw.co.uk/), an independent charity which gives advice on how to raise concerns about serious malpractice at work.

Whistleblowing at Work Procedure

Step 1

Raising concerns

1. The employee may raise their complaints orally or, preferably, in writing to their immediate line-manager¹, and detail the issues about which they are concerned.
2. If it is not appropriate to raise these concerns with a particular manager (e.g. because they are about that manager's conduct), the employee may refer matters to the next most senior manager², and so on. In exceptional circumstances, employees may raise concerns with a manager who is outside their service; in these cases they should:
 - use the Whistleblowing Hotline (0800 783 2406)
 - use the Tri-Borough Fraud Service - Fraud Hotline 020 7361 2777 to report concerns, or by email: andrew.hyatt@rbkc.gov.uk or approach
 - the Director of Finance or
 - the Head of Legal and Democratic

(On rare occasions (e.g. employees want to report issues involving more than one department), concerns can be raised directly with the Chief Executive or the Chairman of the Council's Standards Committee.)
3. The manager will confirm that the employee's concerns are appropriate to this procedure; if not, the employee should be referred to the appropriate procedure. Matters concerning "fraudulent or corrupt acts" should be referred to the Fraud Team.
4. The manager will meet the employee as a priority and gather as much information as possible.
5. The manager will assess what action is necessary to investigate and respond to the employee's concerns. They will write to the employee within five days of the meeting summarising the employee's concerns and informing them as to how these will be investigated. The manager will also inform the employee of the timescales within which the investigation will be completed.
6. When considering the action needed to investigate and address the employee's concerns, the manager may seek advice and direction from appropriate Council staff and/or external officials.
7. The employee will be informed in writing of the outcome of the investigation. The employee will receive as much feedback as possible,

1 Subject to footnote 2, schools staff should raise their concerns with their headteacher in the first instance.

2 Chair of Governors in schools.

subject to the Council's duty of confidence to other parties who may be involved.

Step 2

1. The employee may proceed to step 2 and refer their concerns to their CLT/EMT³ Director if they:
 - remain dissatisfied with the response in step 1; or
 - have not received a response to their concerns within the timescales set out by the manager at step 1.
2. The CLT/EMT³ Director will take appropriate action such as:
 - Reviewing the investigation to date and giving instructions on its further conduct;
 - Assuming responsibility for an investigation in progress;
 - Initiating an investigation:
 - Delegating an investigation to a Council manager or an appropriate external official.
3. The CLT/EMT Director will inform the employee in writing about action to progress the investigation with timescales and/or their decision in relation to the employee's further representations. The employee will receive as much feedback as possible, subject to the Council's duty of confidence to other parties who may be involved.

3 Chair of Governors in schools, unless they were the contact in Step 1, in which case the issue would be referred to the Director of Children's Services as the relevant EMT member.