



# Whistleblowing Policy (Protected Disclosure)

Date	Revision & Amendment Details	By Whom
January 2018	Approved	Trust Board
26 <sup>th</sup> April 2022	Reviewed and Approved	Pay & People Committee
27 September 2022	Approved	P&P Committee
5 December 2022	Approved	Melanie Morris (Union Meeting)

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## 1. Introduction

Peterborough Diocese Education Trust (PDET) is committed to the flourishing of all, working together as one, through the affirmation of God's love within a distinctly Christian ethos. It recognises that humanity is co-humanity, inextricably linked with others. Therefore, the Trust aims for each of its academies to provide a culture:

- with a core focus on relationships
- where the practice of forgiveness and reconciliation is central; and
- where upholding dignity and showing respect to all is fundamental in order to enable all people to live well together.

## 2. Policy Statement

The Public Interest Disclosure Act 1998 (the "Act") places a legal responsibility on employers to ensure that matters of serious public concern can be addressed.

The Peterborough Diocese Education Trust (hereafter referred to as the Trust) are committed to the highest standards of openness, probity, and accountability. In line with this commitment, the Trust / AGC encourages individuals with serious concerns about an activity in the Trust to voice those concerns. This also applies to concerns about the actions of Staff and Governors and external organisations in their dealings with the Trust.

This policy is provided as a reference document to outline how issues can be raised internally, and if necessary, outside the leadership structure of the Trust; it documents our assurance that concerns will be seriously considered and appropriate action taken. Additionally, it;

- Provides the basis on which individuals can raise serious concerns they may have, and receive feedback on action taken;
- Allows individuals to take the matter further if they are dissatisfied with the Trust's response; and
- Outlines the protection from reprisals or victimisation for 'whistle-blowing'.

It should be noted that any clause within a worker's contract of employment is void if it attempts to prevent an individual from making a protected disclosure under the Act. This code does not remove or diminish the existing contractual or statutory rights of employees.

## 3. Scope of the Whistleblowing Policy

This policy applies to all employees within the Trust whether on a permanent or on a fixed term contract. It also applies to Contractors working for the Trust on Academy / Trust premises, for example Agency Workers, Supply Teachers and Contractors. The term 'individual' used throughout this document is used to include all the above.

Staff working for the Central Team who are not Academy based need to apply the following substitutions:

- Where there is reference to Academy this should be substituted for Trust;
- Where there is reference to Headteacher this should be substituted for Chief Executive.

#### **4. The Principles of the Policy**

There are existing procedures in place to enable individuals to raise grievances about their own employment and contracts of employment. This policy is intended to cover concerns that fall outside the scope of individual grievances and relates to both employees and workers.

This policy is in addition to the Trust's complaints procedure and other statutory reporting procedures, and seeks to encourage you to raise your concerns internally within the organisation.

If you are unsure whether or not to use this policy / procedure, or if you need independent advice at any stage, you can contact Protect which is an Independent Charity which can give free confidential advice at any stage on how to raise a concern about serious malpractice at work. Please refer to Appendix 1 for further details.

A qualifying disclosure is any disclosure of information that is made in the public interest and in the reasonable belief of the worker may show that one of more of the following is either happening at the present time, took place in the past or is likely to happen in the future:

- A criminal offence;
- A miscarriage of justice;
- An act creating risk to health and safety;
- An act causing damage to the environment;
- A breach of any other legal obligation; or
- Concealment of any of the above.

An individual does not have to raise a grievance in order to make a 'protected disclosure'; however, if the employee intends to raise the matter as a grievance, this intention must be clearly stated.

#### **5. Safeguards in Place to Protect Whistleblowers**

In making the disclosure, an individual must have a reasonable belief that the information disclosed shows one or more of the offences or breaches listed above. The belief need not be correct, but the individual must show that they held the belief and that it was a reasonable belief in the circumstances, at the time of the disclosure.

Individuals are encouraged to come forward with genuine concerns in the knowledge that they will be taken seriously. The Trust recognise that the decision to report a concern can be a difficult one to make, not least because of the fear of reprisals from those responsible for the malpractice. As far as possible the Trust will seek to respect the confidentiality and anonymity of the individual raising the concern and will seek to protect him / her from reprisals. In this regard, the Trust will not tolerate any harassment or victimisation of the individual who has raised the concerns, nor will any attempt to prevent individuals from raising concerns be acceptable.

#### **6. Confidentiality**

The Trust encourages individuals to put their name to allegations made. Concerns expressed anonymously are much less powerful as the ability of the Trust to gather crucial information from the complainant is not possible. However, such complaints will be considered at the discretion of the Trust. In exercising this discretion, the factors taken account of will include;

- The seriousness of the issue raised;
- The credibility of the concern;
- The likelihood of being able to confirm that the allegation is from attributable sources; and
- The ability to trace the source of unfounded or malicious allegations.

The Trust will endeavour to protect the identity of individuals who raise concerns and do not want their name to be disclosed. It must be appreciated, however, that the investigation and statements made by the individual(s) who raised the issue may reveal the source of the information.

## 7. Raising a Concern with the Trust

The earlier concerns are expressed by individuals, the easier it is to take action. As a first step, the Trust encourages individuals to initially raise concerns with their Headteacher and to allow those Trust Staff and Governors in positions of responsibility and authority an opportunity to address the issue and seek an explanation for the behaviour or activity. This will depend on the nature of the concerns, the seriousness and sensitivity of the issues involved and who is alleged to be involved.

Individuals who feel that they cannot approach their Headteacher should approach a member of the CET or HR team. Depending on the details of the concerns and the workers involved, the below Decisions Level table will be used to decide who will be responsible to address the concerns;

Staff member concerned	Investigation Personnel	Hearing Personnel	Appeal Personnel
<b>Trust:</b> <b>Member of staff</b> <b>Less serious concern</b>	Any of the following – HT decides in consultation with HR Manager: <ul style="list-style-type: none"> <li>• Member of Trust Executive</li> <li>• External person to the Trust (could be HT from another Academy in the Trust)</li> <li>• Member of Central HR team</li> </ul>	Any of the following – HT decides in consultation with HR Manager: <ul style="list-style-type: none"> <li>• HT</li> <li>• HT from another Academy in the Trust</li> </ul>	Any of the following – HT decides in consultation with HR Manager: <ul style="list-style-type: none"> <li>• A Committee consisting of the Chair of Governors plus Governors from either the Academy or other Academies in the Trust</li> <li>• Member of CET including CEO</li> </ul>
<b>Trust:</b> <b>Member of staff</b> <b>Serious concern</b>	Any of the following – HT decides in consultation with HR Manager: <ul style="list-style-type: none"> <li>• Member of Executive</li> <li>• External person to the Trust (could be HT from another Academy in the Trust)</li> <li>• Member of Central HR team</li> </ul>	Any of the following – HT decides in consultation with HR Manager: <ul style="list-style-type: none"> <li>• HT</li> <li>• Member of CET including CEO</li> <li>• Committee consisting of one or more Directors plus Governors from another Academy in the Trust</li> </ul>	Any of the following – HT decides in consultation with HR Manager: <ul style="list-style-type: none"> <li>• Member of CET including CEO</li> <li>• Committee consisting of one or more Directors</li> </ul>

<b>Trust: Headteacher / Executive Head (HT)</b>	Any of the following – CEO decides: <ul style="list-style-type: none"> <li>• Member of CET excluding the CEO</li> <li>• External person to the Trust</li> <li>• Member of Central HR team / HR Manager</li> </ul>	Any of the following – CEO decides: <ul style="list-style-type: none"> <li>• Member of CET including CEO</li> <li>• HR Manager</li> <li>• Committee consisting of one or more Directors</li> </ul>	Committee consisting of one or more Directors
<b>Central Team (excluding HR Manager / Central Executive (CET))</b>	Any of the following – CEO decides: <ul style="list-style-type: none"> <li>• Member of CET excluding the CEO</li> <li>• External person to the Trust</li> <li>• Member of Central HR team / HR Manager</li> </ul>	Any of the following – CEO decides: <ul style="list-style-type: none"> <li>• CEO</li> <li>• Member of CET</li> <li>• HR Manager</li> <li>• Committee consisting of one or more Directors</li> </ul>	Any of the following – CEO decides: <ul style="list-style-type: none"> <li>• CEO*</li> <li>• Member of CET*</li> <li>• Committee consisting of one or more Directors</li> </ul>
<b>Central Executive (CET) (but not CEO) / HR Manager</b>	Any of the following – CEO decides: <ul style="list-style-type: none"> <li>• Member of CET (if about HR Manager)</li> <li>• CEO</li> <li>• A Director</li> </ul>	Any of the following – CEO decides: <ul style="list-style-type: none"> <li>• CEO</li> <li>• Member of CET (if about HR Manager)</li> <li>• Committee consisting of one or more Directors</li> </ul>	Committee consisting of one or more Directors
<b>CEO</b>	Any of the following – Chair of Directors decides: <ul style="list-style-type: none"> <li>• A Director excluding Chair of Directors</li> </ul>	Any of the following – Chair of Directors decides: <ul style="list-style-type: none"> <li>• Chair of Directors</li> <li>• Committee consisting of one or more Directors</li> </ul>	Committee consisting of one or more Directors

**Note 1: Different people will be used at each stage of the process and will not involve anyone who was a witness to the allegation.**

**Note 2: A Committee may be a single individual or any number of individuals as per the table above**

If an employee so wishes, advice may also be sought from a Trade Union or Professional Association. The employee should consider who would be the most appropriate person to deal with the matter; however care is needed to ensure that this will not result in a breach of confidentiality or the disclosure of exempt information.

Concerns raised under this policy should, where possible, be submitted in writing, setting out the background and history of the concern, giving names, dates and places, and the reason why the individual is concerned about the situation. Individuals who do not feel able to put their concerns in writing can telephone or meet the appropriate officer as per the table above.

Individuals may invite their Trade Union or professional association to raise the matter internally on their behalf, but should take care that any disclosures are protected disclosures under the Act.

## **8. The Trust's Approach**

The action taken by the Trust will depend on the nature of the concern. The matters raised may for example:

- Be investigated internally;
- Be referred to the Police, or other appropriate body;
- Be referred to an External Auditor; or
- Form the subject of an independent inquiry.

In order to protect individuals, initial enquiries will be made to determine 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 unlawful discrimination issues) will normally be referred for consideration under those procedures. Some concerns may be resolved by agreed action without the need for further investigation.

- In the first instance, and unless the worker reasonably believes the Headteacher to be involved in the wrongdoing, or if for any other reason the worker does not wish to approach their Headteacher, any concerns should be raised with the CET or HR Team.
- The Headteacher / CET / HR Team will arrange an investigation into the matter (either by investigating the matter personally or immediately passing the issue to an appropriate investigating officer). The investigation may involve the worker and other individuals involved giving a written statement. Any investigation will be carried out in accordance with the principles set out above. The worker's statement will be taken into account, and they will be asked to comment on any additional evidence obtained. The Headteacher (or the person who carried out the investigation) will then report to the CET / HR Team, which will take any necessary action, including reporting the matter to any appropriate Government department or regulatory agency. If disciplinary action is required, the disciplinary procedure will be instigated. On conclusion of any investigation, the worker will be told the outcome of the investigation and what the Trust has done, or proposes to do, about it. If no action is to be taken, the reason for this will be explained.
- If the worker is concerned that their Headteacher is involved in the wrongdoing, has failed to make a proper investigation or has failed to report the outcome of the investigations to the CET / HR Team, who will arrange for another manager to review the investigation carried out, make any necessary enquiries and make their own report to the CET / HR Team as per above.

Records will be kept of work undertaken and actions taken throughout the investigation. The investigating officer(s), will consider how best to report the findings and what (if any) corrective action needs to be taken. This may include some form of disciplinary action or third-party referral.

Within 14 working days of a concern being received, the Head teacher(or the relevant person as per the Decisions level table on page 5) will write to the worker, if known, and in accordance with the communications channel agreed with the worker, who raised the issue:

- Acknowledging that the concern has been raised;
- Indicating how it is proposed to deal with the matter;
- Where possible, giving an estimate of how long it will take to provide a final response; and
- Telling the individual whether further investigations will take place, and if not, why not.

The amount of contact between the investigating officer considering the issue and the person who has raised the issue will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, further information will be sought from the individual.

When any meeting is arranged with the individual, he or she will be given the right to be accompanied by a Trade Union or professional association representative, or a work colleague who is not involved in the area of work to which the concern relates.

## **9. Dissatisfaction with a Response**

This policy is intended to provide individuals with an avenue to raise relevant concerns within the Trust. If the individual is dissatisfied with the resolution of the matter, or has genuine concerns that the matter has not been dealt with appropriately, these concerns should initially be raised with the investigating officer, the AGC and / or directed to the CET / HR Team.

Where the concern is of a particularly serious nature, the employee may feel that it is more appropriate to take the matter outside of the Trust. If you would like independent advice about how to raise serious concerns constructively, then you should contact Protect .

There are a number of bodies which have been prescribed by the Secretary of State for the purpose of receiving disclosures; details of these bodies can be found on the GOV.UK website: [www.gov.uk/whistleblowing](http://www.gov.uk/whistleblowing).

Or in PDF format at:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/183340/1\\_1-641-blowing-the-whistle-to-a-prescribed-person.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/183340/1_1-641-blowing-the-whistle-to-a-prescribed-person.pdf)

The worker must believe that the information given, and the allegations made are substantially true and ensure that they are not acting for personal gain.

If an individual does take the matter outside of the Trust, they must ensure that they do not disclose confidential information which is unrelated to the issue being raised.

In making a disclosure outside of the Trust to a prescribed body, individuals should be aware that the disclosure must be made to an appropriate prescribed person or organisation and the individual must believe that the information disclosed and any allegations made are true.



## **10. Raising Unfounded or Malicious Concerns**

If an allegation is made but is not confirmed by the investigation, no action will be taken against the individual raising the concern and the Trust will endeavour to protect the individual from reprisals or victimisation.

However, if an employee makes an allegation which – through the internal investigation process - is found to be malicious, mischievous or vexatious, or a disclosure made for personal gain, such actions will be considered as a disciplinary offence and are likely to result in disciplinary action being taken against the employee.

Whistleblowers making untrue allegations may expose themselves to actions for libel or slander which together make up the civil wrong of defamation. This is a complex area of law. In essence a person puts themselves at risk of being sued for damages if, without justification, they publish or communicate a false statement about someone which may injure his or her reputation in the eyes of ordinary members of society.

However, a whistleblower will not generally be liable provided that they had a legal, moral or social duty or interest in making the statement to a person with a similar interest.

## **11. Responsible Officer**

The CET / HR Team have overall responsibility for the maintenance and operation of this policy. These teams maintain a record of concerns raised and the outcomes and will report as necessary to the AGC and the Trust Board.

## **12. Review of Procedure**

This procedure shall be subject to periodic review and may be changed from time to time.

## **Appendix 1 - Advice and Information**

### **Protect**

Protect is an independent organisation which can provide guidance and training to employers on whistleblowing and can also offer free advice to employees unsure whether or how to raise a concern about workplace wrongdoing.

Protect  
The Green House  
244-254 Cambridge Heath  
Road  
London E2 9DA

### **Advisory, Conciliation and Arbitration Service (ACAS)**

ACAS operates a nationwide network of helplines which deal with queries about employment matters, including the rights and obligations arising out of employment law. The service is available to any individual or organisation free of charge. Any worker who contacts ACAS will wish to bear in mind the distinction between seeking information about the provisions of the Public Interest Disclosure Act 1998, and the requirements attached to making a protected disclosure.

### **ACAS East Midlands**

Apex Court, City Link, Nottingham, NG2 4LA

Tel: 0300 123 1150

General Helpline Numbers: 0300 123 1100

Customers with a hearing or speech impairment may prefer to contact ACAS using the Text Relay service by dialling 18001 0300 123 1100.