



**WHISTLE BLOWING  
POLICY**

## DOCUMENT CONTROL

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<b>Document Path &amp; Filename</b>	Staff General/Corporate Information/Policies and Procedures/Finance/Whistle Blowing Policy	
<b>Document Reference</b>	Whistle Blowing Policy	
<b>Version</b>	01 West Lakes MAT	
<b>Status</b>	Approved	
<b>Publication Date</b>	November 2018	
<b>Review Date</b>	November 2019	
<b>Approved/Ratified by</b>	Board of Trustees	Date: 29 <sup>th</sup> October 2018
<b>Distribution:</b>		
West Lakes Academy Staff		
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<b>Version</b>	<b>Date</b>	<b>Comments</b>	<b>Author</b>
06	December 2017	WLA policy	Stephen Lester
01	October 2018	This policy is adapted from the West Lakes Academy policy.	Stephen Lester

## **PART A**

### **1. REVISION**

This document will be reviewed annually.

### **2. DISTRIBUTION**

The Chief Operating Officer shall retain a hard copy of this procedure and distribute controlled copies as required. Electronic copies of this procedure shall be available via the computer network.

### **3. IMPLEMENTATION**

The requirements of this procedure are mandatory.

## **PART B**

### **1. INTRODUCTION**

#### **1.1** West Lakes Multi Academy Trust (MAT) expects the highest standards from all employees, and will treat seriously any concern that an employee may have about illegal or improper conduct.

*“The Nolan Committee identified seven principles which apply to all aspects of public life, and therefore to all West Lakes Multi Academy Trust employees”. These are outlined below.*

#### **1.2 Nolan Committee Principles**

##### **Selflessness**

Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

##### **Integrity**

Holders of public office should not place themselves under any financial or other obligations that might influence them in the performance of their official duties.

##### **Objectivity**

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choice on merit.

##### **Accountability**

Holders of public office are accountable for their decisions and actions to the public, and must submit themselves to whatever scrutiny is appropriate to their office.

### **Openness**

Holders of public office should be as open about all the decisions and actions they take. They should give reasons for their decisions, and restrict information only when the wider public interest clearly demands.

### **Honesty**

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

### **Leadership**

Holders of public office should promote and support these principles by leadership and example.

## **2. PURPOSE**

2.1 This procedure is designed to enable employees of West Lakes MAT to notify trustees or the Chief Executive Officer, as Accounting Officer, of any reasonable suspicion of illegal or improper conduct. "Improper conduct" includes neglect of duty and maladministration. The procedure requires all employees to act responsibly to uphold the reputation of West Lakes MAT and to help maintain public confidence.

2.2 It is a procedure in which management will be expected to act swiftly and constructively in the investigation of any concerns.

2.3 The procedure aims to:

- Encourage you to feel confident in raising serious concerns and to question and act upon concerns of practice
- Provide avenues for you to raise those concerns and receive feedback on any action taken
- Ensure that you receive a response to your concerns and that you are aware of how to pursue them if you are not satisfied
- Reassure you that you will be protected from possible reprisals or victimisation if you have reasonable belief that you have made any disclosure in good faith

## **3. USE**

3.1 This procedure should be used only where concerns are about the consequences for the public, other employees, governors or trustees. There are other existing procedures in place to enable you to lodge a grievance relating to your own employment. In the event that the grievance procedure fails to resolve the matter to the satisfaction of the employee the employee may, if they reasonably believe the disclosure is in the public interest, invoke the Whistle Blowing policy.

The Whistle Blowing policy is intended to cover major concerns that fall outside the scope of other procedures. These include:-

- Conduct that is an offence or a breach of the law
- Disclosures related to miscarriage of justice

- Health and safety risks, including risks to the public as well as other employees
- Damage to the environment
- The unauthorised use of public funds including possible fraud and corruption
- Sexual or physical abuse of students or staff
- Radicalisation, terrorism or extremism of students or staff
- Other unethical conduct
- Notification of any suspicions of price-fixing cartels providing goods or services to West Lakes MAT

Employees who are worried about wrong-doing at work do not necessarily have a personal grievance.

Thus, any serious concerns that you have about any aspect of service provision or the conduct of staff of West Lakes MAT, governors or trustees or others acting on behalf of the trustees can be reported under the Whistle Blowing policy. This may be about something that:

- Makes you feel uncomfortable in terms of known standards, your experience or the standards you believe West Lakes MAT subscribes to
- Is against the Academies Financial Handbook, Academy Financial Regulations Manual or other MAT financial policies
- Falls below established standards of practice in academies
- Amounts to improper conduct
- Appears to be an attempt to mislead

3.2 Employees must act in good faith and must have reasonable grounds for believing the information to be accurate. When it is apparent from the investigation that the person making the disclosure has acted frivolously, maliciously or for personal gain, West Lakes MAT may decide to take disciplinary action.

3.3 No employee who uses this procedure in good faith will be penalised for doing so.

3.4 An employee who is not sure whether the conduct he/she is concerned about does not constitute illegal or improper conduct or is unsure about how to proceed can contact the following for advice:-

Chief Executive Officer and Accounting Officer  
Jonathan Johnson, Telephone 01946 820356  
e-mail: [johnsonj@westlakesmat.org.uk](mailto:johnsonj@westlakesmat.org.uk)

Chair of Board of Trustees  
Adrian Thompson, Telephone 01946 820356  
e-mail: [governors@westlakesacademy.org.uk](mailto:governors@westlakesacademy.org.uk)

Responsible Officer  
Sonya Gratton, Telephone 019467 88553  
e-mail: [sonya.m.grattan@sellafieldsites.com](mailto:sonya.m.grattan@sellafieldsites.com)

- 3.5 Financial regulations require any employee who suspects fraud, corruption or other financial irregularity to ensure this is reported to the Responsible Officer for possible investigation. Normally, you should first report any suspicion of such irregularity to the Chief Executive Officer, who will in turn report it to the Responsible Officer.

Exceptionally, if you believe that the matter cannot be resolved in this way, or if the matter relates to the Chief Executive Officer, you should report it direct to the Responsible Officer.

#### **4. MECHANISM FOR RAISING CONCERNS**

- 4.1 If you have a concern, you will need to exercise judgement on who to raise the issue with. If the matter is minor, then it will be sufficient just to bring it to the attention of the employee who appears to be at fault.
- 4.2 If the matter is obviously more significant or where a previous informal response as above has apparently been disregarded, then you should raise the matter with your line manager.
- 4.3 Where the issue concerns your line manager or, having made your report, you believe they have failed to take appropriate action then you should bring it to the attention of a more senior manager.
- 4.4 Employees who feel unable to follow this route, for whatever reason, have the option of contacting the contact names in paragraph 3.4 above.
- 4.5 Depending on the nature of the concern you will be asked to justify and support your claim. Normally you will be asked to do this in writing. It will therefore be helpful to note down any facts and dates as they happen.
- 4.6 Employees who want to use the system but feel uneasy about it may wish to consult their trade union or professional association initially and bring a friend or trade union/professional association representative along to any discussions, so long as the third party is independent of the issue.
- 4.7 Confidentiality. All concerns will be treated in confidence and every effort will be made to protect an employee's identity if that is their wish. At the appropriate time, however, they may need to be called as a witness, following a full factual investigation of the concerns raised.
- 4.8 Where anonymity is requested every effort will be made to meet the request, but that might not always be possible. The earlier and more open the expression of concern, the easier it will be to take appropriate action.
- 4.9 Each case will be investigated thoroughly with the aim of informing you of the outcome of any investigation as quickly as possible.
- 4.10 The Chief Executive Officer, as Accounting Officer, has a duty to take appropriate action if the Board of Trustees, or Chair, is contemplating a course of action which he or she considers would infringe the requirements of propriety or regularity (including the provisions of the Academies Financial Handbook, West Lakes MAT Funding Agreement, the Academy

Development Plan, or any of the documents setting out the financial duties of the Board of Trustees or any other rules governing the conduct of the body) or would not represent prudent or economical administration, or the efficient or effective discharge of the Board of Trustees functions.

In the circumstances outlined above the Chief Executive Officer, without undue delay, should put his/her objections in writing to the Board of Trustees and advise them of the requirement to inform the Department for Education Accounting Officer and West Lakes MAT's auditors, as well as the Comptroller and Auditor General.

4.11 Exceptionally, if you feel unable to pursue any of these routes, you should consider approaching an appropriate body outside West Lakes MAT. Such bodies include:

- The District Audit service (for financial irregularities)
- The independent charity "Public Concern at Work" offers confidential advice 020 7404 6609 e-mail: [whistle@pcaw.org.uk](mailto:whistle@pcaw.org.uk) to employees and others with serious concerns about public dangers and malpractice. <http://www.pcaw.co.uk/contact.html>
- Trade Union/Professional Association representative

## **5. ADVICE FOR LINE MANAGERS DEALING WITH CONCERNS**

5.1 You must exercise judgement depending on the nature and seriousness of the concern. While it is essential for problems to be tackled effectively with the aim of rectifying the issue, this may well be best achieved in less serious cases by discussion with the relevant section or employee and securing a commitment as to future standards and corrective action. In taking any corrective action you must, as far as possible, respect an employee's request for confidentiality and avoid the threat of recrimination or reprisals. You should notify your own line manager of the action you have taken.

5.2 In other more serious cases you should pass the matter up to the Chief Executive Officer.

5.3 If you have any doubts about the right way to deal with the concern you should contact one of the persons named in paragraph 3.4 above for advice.

5.4 All employees should be reassured that their concerns will be treated seriously and sensitively and that West Lakes MAT will not tolerate harassment and/or victimisation of any employee raising concerns.

5.5 Academy employees should raise their concerns with the Chief Executive Officer or Chair of Trustees or, if this is not appropriate, the Responsible Officer (for financial irregularities) or West Lakes MAT's legal or HR service provider.

5.6 The Chief Executive Officer or Chair of Trustees should raise their concerns with West Lakes MAT's legal or HR service provider. They should report any allegation or suspicion of a financial irregularity immediately to the Responsible Officer.

## **6. RESPONSE AND INVESTIGATION**

- 6.1 West Lakes MAT will respond and investigate all concerns raised under the Whistle Blowing Policy and 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 ESFA
  - Form the subject of an independent inquiry
- 6.2 The Chief Operating Officer will put in place appropriate measures to preserve relevant information and ensure that records that are, or that may be, required as evidence in legal proceedings are not modified, destroyed or tampered with (as part of the 'legal hold' process).
- 6.3 In order to protect individuals and those accused of misdeeds or possible malpractice, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. The overriding principle which West Lakes MAT will have in mind is the public interest. Concerns or allegations which fall within the scope of specific procedures (for example, child protection) will normally be referred for consideration under those procedures.
- 6.4 Within 10 working days of a concern being raised, the Chair of Trustees will write to the employee concerned at their private address
- Acknowledging that the concern has been received
  - Indicating how he proposes to deal with the matter
  - Telling the employee whether any initial enquiries have been made
  - Telling the employee whether further investigations will take place and, if not, why not
- 6.5 If the matter is subject to further investigation the employee will be kept informed of the progress and will be told of the timescale for the investigation. The amount of contact between those considering the issues and the employee having a concern will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, West Lakes MAT will seek further information from the employee raising the concern.
- 6.6 A representative of a Trade Union recognised by West Lakes MAT or work place colleague may accompany an employee during any stage of an investigation conducted under this policy.
- 6.7 West Lakes MAT will take steps to minimise any difficulties which may be experienced as a result of raising a concern. For instance, where an employee is required to give evidence in criminal or disciplinary proceedings West Lakes MAT will arrange for them to receive advice about the procedures involved.
- 6.8 West Lakes MAT accepts that employees need to be assured that matters of concern have been properly addressed and, therefore, subject to legal constraints, employees will be informed of the outcome of any investigation.

6.9 The Chair of Trustees has overall responsibility for the maintenance and operation of this policy. He will ensure that a record of concerns raised and the outcomes recorded is maintained in a form that does not endanger confidentiality.

6.10 How the matter can be taken further.

This policy is intended to provide employees with an avenue within West Lakes MAT to raise concerns. West Lakes MAT hopes employees will be satisfied with any action taken. If they are not, and if they feel it is right to take the matter outside West Lakes MAT, the following are possible contact points:

- Health & Safety Executive
- Environment Agency
- Education Skills and Funding Agency

6.11 The person undertaking the investigation must do so promptly keeping the whistle blower(s) informed as to the progress of the investigation.