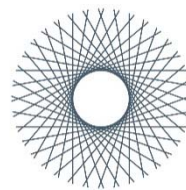


# Whistleblowing policy



HERTS FOR  
LEARNING  
**MULTI  
ACADEMY  
TRUST**

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**NAME OF POLICY:** Whistleblowing

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**STATUS:** Statutory

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**DATE ISSUED:** June 2017

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**REVIEW DATE:** June 2019

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**APPROVED BY:** Board of Trustees

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**APPROVAL DATE:** 12 July 2017

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## 1 INTRODUCTION

- 1.1 The Herts for Learning Multi Academy Trust (HfL MAT/The Trust) is committed to ensuring all aspects of its work and business is conducted with honesty and integrity.
- 1.2 This policy and procedure applies to all employees, which throughout this policy and procedure includes staff and governors/trustees. Other individuals performing functions in relation to the organisation, such as contractors, should also have access to it.
- 1.3 It is important to the Trust that any fraud, misconduct or wrongdoing by employees or governors/trustees of the HfL MAT is reported and properly dealt with. The HfL MAT will, therefore, respond to all individuals who raise any genuine concerns that they may have about the conduct of others in the HfL MAT, which are in the public interest. This policy and procedure sets out the way in which individuals may raise any concerns that they have and how those concerns will be dealt with.
- 1.4 The HfL MAT expects the highest standards of conduct from all employees, governors and trustees and will treat seriously any concern raised about illegal or improper conduct.

- 1.5 Any individual covered by this policy will be expected, through agreed procedures and without fear of recrimination, to bring to the attention of the Headteacher (or the Chief Executive Officer (CEO) if the concern is regarding the Headteacher or a member of the HfL MAT central office or the Chair of the Board of Trustees) any serious impropriety or breach of procedure.
- 1.6 Employees who do not follow the steps identified in this procedure or other agreed internal procedures, and take their concerns to other outside sources (e.g. the press), may be subject to a formal disciplinary investigation
- 1.7 This policy does not form part of any employee's contract of employment and it may be amended at any time. The HfL MAT may also vary any time limits as appropriate.

## 2 BACKGROUND

2.1 The law provides protection for employees who raise legitimate concerns about specified matters. These are called 'qualifying disclosures'. A qualifying disclosure is one made in the public interest by the employee who has a reasonable belief that:

- 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 legal obligation
- a concealment of any of the above

is being, has been, or is likely to be, committed. It is not necessary for the employee to have proof that such an act is being, has been, or is likely to be committed; a reasonable belief is sufficient. The employee has no responsibility for investigating the matter; it is the Trust's responsibility to ensure that an investigation takes place.

- 2.2 Where the concerns are about safeguarding children or young people, the HfL MAT's designated senior person for Child Protection must be notified (see section 7 below).
- 2.3 It is a procedure in which the Headteacher, CEO or Chair of the Board of Trustees will be expected to act swiftly and constructively in the investigation of any concerns in accordance with the HfL MAT's disciplinary procedure.
- 2.4 Concern about a colleague's professional capability should not be dealt with using this policy (see section 7 below).

### 3 WHEN SHOULD IT BE USED?

3.1 This policy and procedure is for disclosures about matters other than a breach of an employee's own contract of employment. If an employee is concerned that his or her own contract has been, or is likely to be, breached he/she should use the HFL MAT's grievance procedure.

3.2 Where a disclosure is merely an expression of opinion that fails to show that a legal obligation has been or is likely to be breached, it cannot amount to a protected or qualifying disclosure for the purposes of the whistleblowing legislation.

#### 3.3 **Recent changes to the law**

A qualifying disclosure means any disclosure of information that in the reasonable belief of the worker is made in the public interest. This is why an employee will generally be precluded from being able to 'blow the whistle' about breaches of his or her own employment contract. The requirement that a whistleblower make a qualifying disclosure 'in good faith' has been removed. Therefore, while the employer can seek a declaration from the whistleblower that he or she is not knowingly making a false allegation, disciplinary action is likely to be appropriate only where there is clear evidence that the employee has misused this policy.

3.4 This policy and procedure is not designed to replace or be used as an alternative to the HfL MAT's grievance procedure, which should be used where an employee is only aggrieved about their own situation. This policy and procedure will also not apply where the employee simply disagrees with the way the HfL MAT is run.

3.5 Employees must have reasonable grounds for believing the information they have is accurate and not just 'idle gossip or rumour'.

3.6 An employee who makes such a protected disclosure has the right not to be subjected to detrimental treatment, which includes: dismissal, disciplinary action, threats or other unfavourable treatment, because he/she has made a disclosure, provided it has not been made maliciously. Any employee who uses this policy and procedure will not be penalised for doing so. The employer will not tolerate harassment and/or victimisation of any employee raising concerns.

3.7 An employee who is not sure whether the conduct he/she is concerned about does constitute illegal or improper conduct or is unsure about how to proceed may contact the CEO, Headteacher, Chair of the Board of Trustees or professional association/trade union.

3.8 Financial regulations require that any suspicion of fraud, corruption or other financial irregularity exceeding £5K or any unusual or systematic fraud, is reported to the Education and Skills Funding Agency (ESFA) for possible investigation. Normally an employee must first report any suspicion of such

an irregularity to the Headteacher, CEO or Chair of the Board of Trustees, who will in turn report it to the ESFA.

## 4 PRINCIPLES

- 4.1 Any matter raised under this policy and procedure will be investigated thoroughly, promptly and confidentially. Whilst the HfL MAT will aim to keep the employee informed of the progress of the investigation and likely timescales, sometimes the requirement for confidentiality will prevent full information about the investigation and any consequential disciplinary action from being disclosed.
- 4.2 No employee will be victimised for raising a matter under this policy. This means that the continued employment and opportunities for future promotion or training of the employee will not be prejudiced because he/she has raised a legitimate concern.
- 4.3 Victimisation of a worker for raising a qualified disclosure will be a disciplinary offence.
- 4.4 If misconduct is discovered as a result of any investigation under this policy the matter will be considered under the HfL MAT's disciplinary procedure, in addition to any appropriate external measures.
- 4.5 Maliciously making a false allegation is a disciplinary offence
- 4.6 An instruction to cover up wrongdoing is in itself a disciplinary offence. If told not to raise or pursue any concern, even by a person in authority, employees should not agree to remain silent.

## 5 PROCEDURE

- 5.1 In the first instance, unless the employee reasonably believes their Headteacher to be involved in the wrongdoing, any concerns should be raised with the employee's Headteacher. If he/she believes the Headteacher to be involved, then the employee should report the matter to either the CEO or Chair of the Board of Trustees. Employees in the central MAT team should raise concerns with the CEO, or, if he/she believes the CEO to be involved, then the employee should report the matter to Chair of the Board of Trustees.
- 5.2 The Headteacher/CEO/Chair of the Board of Trustees will arrange an investigation into the matter (either by investigating the matter himself/herself or immediately passing the issue to someone in a senior position). The investigation may involve the employee and others involved giving written statements. Any investigation will be carried out in accordance with the principles set out above.
- 5.3 Employees who want to use the procedure but feel uneasy about it may wish to consult their professional association/trade union initially and bring a

colleague professional association/trade union representative along to any discussions. This is permitted as long as the third party is not involved in the issue.

- 5.4 Employees are not encouraged to make disclosures anonymously. Proper investigation may be more difficult or impossible if further information cannot be obtained from the employee. It is also more difficult to establish whether any allegations are credible. Employees who are concerned about possible reprisals if their identity is revealed should come forward and appropriate measures may be taken to preserve confidentiality although no guarantee can be given that this will always be possible.
- 5.5 The Headteacher (or the person who carried out the investigation) will then report to the CEO or Chair of the Board of Trustees who will take/instigate the necessary action, including reporting the matter to any appropriate department or regulatory agency. If disciplinary action is required, this will be actioned by the Headteacher/CEO/Chair of the Board of Trustees. On conclusion of any investigation, the employee will be told the outcome of the investigation and what the next steps will be (subject to issues of confidentiality). If no action is to be taken, the reason for this will be explained.
- 5.6 If the employee 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 investigation, he/she should inform the CEO or Chair of the Board of Trustees. The aim of this policy and procedure is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the HfL MAT. In most cases, employees should not find it necessary to alert anyone externally and employees are strongly advised to seek advice before reporting a concern in this way. Employees who feel unable to follow this route, for whatever reason, have the option of contacting one of the following:
- HM Revenue and Customs
  - The Financial Services Authority
  - The Office of Fair Trading
  - The Health and Safety Executive
  - The Environment Agency
  - The Director of Public Prosecutions
  - The Serious Fraud Office
  - The Education and Skills Funding Agency
  - The Department for Education
  - The National College for Teaching and Leadership

## 6. WHAT SHOULD BE DONE IF AN ISSUE IS RAISED WITH A MEMBER OF STAFF?

6.1 If a member of staff, other than the Headteacher, is approached by a colleague on a matter of concern as defined in this document, he/she is advised to take the matter to the Headteacher (see also section 5).

## 7. SAFEGUARDING CHILDREN AND YOUNG PEOPLE

7.1 Separate to the obligations under this policy, all employees have a duty to report concerns about the safety and welfare of pupils/students.

7.2 Concerns about any of the following should be reported to the HfL MAT's designated senior person for Child Protection (DSP):

- physical abuse of a pupil/student
- sexual abuse of a pupil/student
- emotional abuse of a pupil/student
- neglect of a pupil/student
- an intimate or improper relationship between an adult and a pupil/student

7.3 The reason for the concern may be the actions of a colleague (including a more senior colleague), a governor/trustee, another pupil/student or someone outside the HfL MAT. Whatever the reason, concerns must be reported. Failure to report a Child Protection related allegation will be, in itself, a disciplinary matter.

7.4 For full details of the designated senior person for Child Protection for the HfL MAT, please see the Trust's Safeguarding Statement on this page of the Trusts' website: <http://www.hflmat.co.uk/statutory-information/>

## 8. ADDITIONAL INFORMATION

8.1 The legislation protecting individuals who makes a protected disclosure applies not only to employees, but also to any person who undertakes to do or perform personally (or otherwise) any work or service for the employer, regardless of the nature of the contractual relationship between them.

8.2 Section 43J of the Employment Rights Act 1996 provides that a settlement agreement made between an employee and employer cannot prevent future protected disclosures.

8.3 Any confidentiality obligations in contracts of employment that would prevent an employee making a protected disclosure will be void.