



Hanley and Upton Educational Trust

Whistleblowing Policy

Stage	Version	V2.0 (June 2021)
	Author	Elaine Wilkins
	Frequency	Every 2 Years
1	Approved by HUET Audit Committee	June 2021
	Ratified by HUET Board	July 2021
2	Uploaded to HUET Website	August 2021
3	Next review date	June 2023

CONTENTS

Section	Policy	Page
	Statement of Intent	2
1	Legal Framework	3
2	Introduction	3
3	Definitions	3
4	Roles and Responsibilities	4
5	Scope	5
6	Harassment and Victimisation of Staff	5
7	Non-Employees	6
8	Good Practice Principles	6
9	Procedure	7
10	Next steps	8
11	What the trust asks of you	9
12	Appeal Process	9
13	Unfair Treatment	10
14	Monitoring and Review	10
	Appendix A	11

Statement of intent

The Hanley and Upton Educational Trust (HUET) is committed to having open and honest communications and ensuring the highest possible standards in integrity, and we will treat whistleblowing as a serious matter.

In line with the trust's commitment to openness, probity and accountability, members of staff are encouraged to report concerns. This policy will work to ensure that, if an employee sees or suspects that something is wrong, they will raise this with the trust. This is termed as "blowing the whistle" – a phrase that is used throughout this policy and should be viewed as a positive action of speaking up.

This policy seeks to ensure that any person suspecting malpractice knows how to raise concerns and what procedures are in place to deal with the concern.

This policy seeks to ensure that any member of staff who suspects malpractice knows how to raise concerns and what procedures are in place to deal with the concern.

Where this policy necessitates personal or special category data to be processed, it will be done so in accordance with the trust's Data Protection Policy. This policy will not be confused with the procedure on dealing with harassment at work or the trust's Grievance Policy and Disciplinary Policy and Procedure.

1. Legal framework

1.1. This policy has due regard to all relevant legislation including, but not limited to, the following:

- Public Interest Disclosure Act 1998
- Employment Rights Act 1996
- ESFA Academies Financial Handbook
- GOV.UK (2015) 'Whistleblowing for employees'
- Sir Robert Francis (2015) 'Freedom to speak up report'

1.2. This policy operates in conjunction with the following trust policies:

- Disciplinary Policy and Procedure
- Complaints Policy
- Data Protection Policy
- Grievance and Disciplinary Procedures

2. Introduction

The Public Interest Disclosure Act 1998 (PIDA) protects employees who “blow the whistle” where the employee reasonably believes that the disclosure falls within the remit of the prescribed person or body and that the information and any allegations are substantially true.

2.2. Disclosures made under this procedure will be monitored for statistical purposes as required under the PIDA. The details of any disclosure remain confidential.

2.3. The Headteacher is the first point of contact for whistleblowing queries. If the allegation is related to the Headteacher, issues will be raised with the Chief Executive Officer (CEO) /Chair of the ASC/Chair of the trust.

2.4. Any member of the trust community or general public is able to “blow the whistle”; however, the PIDA only protects employees. [Section 7](#) includes further details on how whistleblowing affects non-employees.

3. Definitions

3.1. **Whistleblowing:** Whistleblowing is when an employee reports suspected wrongdoing, or 'qualifying disclosures', at work to their employer.

3.2. **Qualifying disclosures:** As outlined by (PIDA) 1998, qualifying disclosures pertain to when any of the following take place:

- A criminal offence has been committed, is likely to be committed or is being committed
- A person has failed, is failing or is likely to fail to comply with any legal obligation to which they are subject
- A miscarriage of justice has occurred, is occurring or is likely to occur

- The health or safety of any individual has been, is being or is likely to be endangered
 - The environment has been, is being or is likely to be damaged
 - Information tending to show any matter falling within any of the preceding points has been, is being or is likely to be deliberately concealed
- 3.3. **In the public interests** means that an individual acted outside of their own personal interest – they acted for more than personal gain. It is not necessary for the disclosure to be of interest to the entire public. The following considerations are often used as a test to establish whether something is within the scope of public interest:
- The number of people in the group whose interests the disclosure served
 - The nature of the interests and the extent by which individuals are affected by the wrongdoing disclosed
 - The nature of the wrongdoing disclosed
 - The identity of the alleged wrongdoer
- 3.4. **Blacklisting** refers to an individual who is being refused work as they are viewed as a whistle blower.
- 3.5. **Grievances** involve someone filing a complaint because they personally have been mistreated in some way – the person making the complaint will have a direct interest in the outcome. It is important to understand the difference between raising a grievance and blowing the whistle.

4. Roles and responsibilities:

- 4.1. The HUET board will be responsible for:
- Establishing and agreeing the whistleblowing procedure.
 - Ensuring the agreed whistleblowing policy is published on the trust's website.
 - Monitoring the effectiveness of this policy and undertaking any necessary reviews e.g. in relation to good practice recommendations or changes in legislation.
 - Ensuring all members of the trust have access to this policy.
 - Investigating, in liaison with the headteacher, any concerns that are raised.
 - Ensuring this policy provides an open and transparent framework where members of the trust can raise their concerns.
 - Taking the necessary action against members of staff following an investigation into any alleged malpractice.
 - Ensuring that the minutes of the HUET Board include a record of the trust's whistleblowing arrangements and who, both internally and externally, staff should report concerns to.
 - Appointing one trustee and one member of staff to act as points of contact for staff when reporting concerns.

- 4.2. The headteacher will be responsible for:
- Ensuring all members of staff have read and understood this policy.
 - Receiving, investigating and responding to any concerns that have been raised by the trust community.
 - Being the first point of contact regarding whistleblowing.
- 4.3. The CEO/chair of the ASC/ chair of the trust will be responsible for receiving any concerns about the headteacher. If the concern relates to the CEO the Chair of the HUET board will be responsible for receiving the concern.
- 4.4. All members of the trust will be responsible for:
- Raising any concerns that meet the definitions of [3.2](#) and [3.3](#) of this policy.
 - Being truthful and reasonable with any concerns that they have.
 - Not raising malicious or unfounded concerns.

5. Scope

- 5.1. This policy will:
- Give confidence to members of the trust community when raising concerns about conduct or practice that is potentially illegal, corrupt, improper, unsafe or unethical, or which amounts to malpractice or is inconsistent with trust standards and policies.
 - Provide members of the trust community with avenues to raise concerns.
 - Ensure that members of the trust community receive a response to the concerns they have raised and feedback on any action taken.
 - Offer assurance that members of staff are protected from reprisals or victimisation for whistleblowing action undertaken in good faith and within the meaning of the PIDA.
- 5.2. This policy will not be confused with the procedure on dealing with harassment at work or the trust's Grievance and Disciplinary Procedures.
- 5.3. Under this policy, any of the following can raise a concern:
- Employees of the trust
 - Voluntary workers working with the trust
 - A trainee, such as a student teacher
- 5.4. In reference to the above point, it is worth noting that the PIDA only protects the trust's employees; however, the trust will never harass or victimise a non-employee for raising concerns.

6. Harassment and victimisation of staff

- 6.1. The trust recognises that the decision to report a concern can be a difficult one to take, not least because of the fear of reprisal from those responsible for the malpractice or from the trust as a whole; however, the trust will not tolerate any

such harassment or victimisation and will take appropriate action to protect staff who raise a concern in good faith.

- 6.2. Staff are protected in law by the PIDA, which gives employees protection from detriment and dismissal where they have made a protected disclosure, providing the legal requirements of the Act are satisfied, e.g. the disclosure was in the public interest.
- 6.3. Any member of staff who victimises or harasses a member of staff as a result of their having raised a concern in accordance with this policy will be dealt with under the trust's Disciplinary Policy and Procedure.

7. Non-employees

- 7.1. The PIDA and the Employment Rights Act 1996 do **not** protect non-employees as far as whistleblowing is concerned.
- 7.2. Irrespective of 7.1, the trust will not allow harassment, dismissal or exclusion for any non-employee who raises a genuine concern.
- 7.3. Where an individual feels that they have been unfairly treated following blowing the whistle, they should use the trust's Complaints Policy.
- 7.4. ASC members/trustees are not employees and, while they are responsible for ensuring there is a whistleblowing procedure in place, they are not protected under the PIDA.

8. Good practice principles

- 8.1. The trust will implement the core whistleblowing principles, as outlined in the 'Freedom to Speak Up Review', to ensure that whistleblowing procedures are fair, clear and consistent.
- 8.2. The trust will implement a **culture of change** by ensuring the following principles are reflected in our ethos and values – there will be a culture:
 - Of safety in the trust.
 - Where people feel confident with raising concerns.
 - Free from bullying.
 - Of visible leadership.
 - Of valuing staff.
 - Of reflective practice.
- 8.3. By providing a clear procedure for mediating and resolving cases, as outlined in [section 9](#), the trust will ensure that all cases are efficiently handled. This procedure includes:
 - How to raise and report concerns
 - How investigations will be conducted
 - How the trust will mediate and resolve disputes

- 8.4. The trust will implement **measures to support good practice** by ensuring we adhere to the following principles:
- Offering relevant training to staff
 - Providing the necessary support to staff
 - Providing support to staff who are seeking alternative employment
 - Being transparent
 - Being accountable
 - Conducting an external review of any concerns raised, where necessary
 - Undertaking regulatory action as required
- 8.5. The trust will ensure there are **particular support measures in place for vulnerable groups** by adhering to the following principles:
- Ensuring non-permanent staff have access to and training on the same principles as permanent staff
 - Ensuring students and trainees are subject to all the safeguarding and whistleblowing principles
 - Ensuring staff from ethnic minorities are supported, as they may feel particularly vulnerable when raising concerns
 - Ensuring staff are empowered and protected, enabling them to raise concerns freely

9. Procedure

- 9.1. If you have a concern about malpractice, the HUET board hopes that you will be able to raise the matter with the Headteacher of your school (or with the CEO/Chair of the HUET Board if this is more appropriate). **If your concern is related to a child protection issue, you must follow the HUET's safeguarding policy and procedures.**
- 9.2. If the concern is related to safeguarding or child protection, and you feel unable to raise it with the designated safeguarding lead (DSL) or their deputy (DDSL) you may wish to raise it with Family Front Door on 01905 822666.
- 9.3. If an individual is raising a concern about the headteacher, they should express their concerns in writing to the CEO/Chair of ASC/chair of the HUET Board. Where this is the case, the CEO/Chair of ASC/chair of the HUET Board will take on the headteacher's duties outlined in [section 10](#).
- 9.4. When individuals raise their concern, they will include the following information as far as possible:
- The background and history of the concern
 - Any relevant names, dates and places
 - The reasons for the concern
- 9.5. The trust encourages individuals to let their identity be known when they raise concerns, as anonymous concerns can be challenging to investigate.

- 9.6. The HUET encourages workers to raise their concerns under this procedure in the first instance. If, having read this policy, you are uncertain about whether it is the appropriate policy or how to proceed, please feel free to seek informal advice from Liberata Human Resources on 01905 846187
- 9.7. Individuals who would like to seek professional and confidential advice should contact Protect, a registered charity that advises on whistleblowing queries. Access the Protect website [here](#), or contact them on 020 31172520.
- 9.8. Once an individual has raised a concern, the trust will be responsible for investigating it.
- 9.9. In certain instances, it may be appropriate for the individual to raise the concern with an outside agency, e.g. the police, depending on the severity of the concern. Equally, it may be appropriate for the individual to request that their trade union raises the matter.

If a member of staff feels they should report a concern to the ESFA, they should use the form [here](#).

10. Next steps

- 10.1. The headteacher will write to the individual within 10 working days of the initial meeting to confirm that the concern has been received, as well as to indicate proposals for dealing with the matter.
- 10.2. The initial stage will be an interview with the whistle blower, and then an assessment of further action will be discussed. During this initial stage, the headteacher will establish if:
 - There are grounds for a concern and that it is genuine.
 - The concern was raised in accordance with this policy.
- 10.3. During the initial interview, the headteacher will request the individual puts their concern in writing, if they have not already done so. The headteacher will write a summary of the concern if the individual is unable to put it in writing.
- 10.4. The headteacher will explain the following to anybody raising a concern:
 - How they will communicate with the complainant throughout the process. It should be noted, the need for confidentiality may prevent the trust giving the complainant specific details of any necessary investigation or any necessary disciplinary action taken as a result of the concern.
 - That the complainant's identity will be kept confidential from the alleged wrongdoer.
 - That the ASC/Trust Board will do everything in their power to protect the complainant from discrimination.
 - That, if the concern is not confirmed, no disciplinary action will be taken against the complainant, if the concern is genuine.

- If clear evidence is uncovered that the complainant's concern is malicious or unfounded, disciplinary action may be brought against them.
- 10.5. If an investigation is carried out, the whistle blower will be informed of the final outcome.
- 10.6. A record will be kept of the seriousness of the issues raised and the credibility of the concern. All records will be kept confidential and will be stored in line with the trust's Data Protection Policy.
- 10.7. It may be possible for the concern to be resolved simply, by agreeing the necessary action or explaining procedures to the alleged wrongdoer; however, depending on the severity and nature of the concern, it may:
- Be investigated by management, an internal audit or through the disciplinary process.
 - Be referred to the police or an external auditor.
 - Form the subject of an independent inquiry.
- 10.8. If the investigating officer needs to talk to the whistle blower, they are permitted to be accompanied by a trade union representative, a professional association representative, a friend or a fellow member of staff not involved in the area of work that the concern relates to. This person will provide support only and will not be allowed to become involved in the proceedings.
- 10.9. A record will be made of the nature and outcome of the concern. The purpose of this is to ensure that a central record is kept, which can be cross-referenced with other complaints, to monitor any patterns of concern across the trust and to assist in monitoring the procedure.
- 10.10. The whistle blower will be informed of the results of the investigation, and any action that is proposed will be subject to third party rights. Where action is not taken, the individual will be given an explanation.

11. What the trust asks of you

- 11.1. The purpose of this policy is to enable individuals to raise concerns in confidence, without any fear of reprisal; therefore, it is imperative that whistle-blowers:
- Do not take the concern outside the trust, e.g. gossiping.
 - Declare any personal interest in the matter, as the policy is designed to be used in the interest of the public and not for individual matters.

12. Appeal process

- 12.1. If no action is to be taken, and/or the individual is not satisfied with the way the matter has been handled, they can make a complaint under the trust's Complaints Policy.

13. Unfair treatment

- 13.1. An individual can take a case to an employment tribunal if they feel that they have been treated unfairly as a result of whistleblowing.
- 13.2. Further information can be sought from the [Citizen's Advice Bureau](#), the whistleblowing charity [Protect](#), or from an individual's trade union.
- 13.3. Any claims of unfair dismissal needs be made within three months of the investigation ending.

14. Monitoring and review

- 14.1. The HUET Audit Committee will review this policy every two years, ensuring that all procedures are up-to-date – the next review date for this policy is July 2023.
- 14.2. Any changes made to this policy will be communicated to all members of staff.

Appendix A: Managing Whistleblowing During the Coronavirus (COVID-19) Pandemic – to be removed at next review date

During the coronavirus (COVID-19) pandemic, the trust remains committed to managing any instances of whistleblowing. Employees of the trust are still able to whistleblow during this time.

The trust will endeavour to follow the procedures outlined in the main body of the policy as much as possible. This appendix outlines necessary changes to managing whistleblowing.

1. Legal framework

This appendix has due regard to all relevant legislation and guidance, including, but not limited to, the following:

- DfE (2021) 'Schools coronavirus (COVID-19) operational guidance'

2. Conducting investigations

Interviews or meetings that are required to be conducted during the investigation of an allegation will be conducted virtually, where possible.

The whistle blower retains the right to be accompanied by a trade union representative, a professional association representative, a friend or a fellow member of staff not involved in the area of work that the concern relates to.

If it is not possible to conduct an interview or meeting virtually, it will be conducted face-to-face. In these cases, attendees will be required to follow the trust's infection control and social distancing measures.

The investigating officer will ensure attendees of virtual meetings and interviews have access to the necessary technology to participate.

Any interviews or meetings that take place remotely will be conducted in line with the Virtual Meeting Policy.

3. Monitoring and review

The headteacher will review this policy on a regular basis and in accordance with any updates to relevant local or national guidance.

Any amendments made will be communicated to all relevant stakeholders.