

WHISTLEBLOWING POLICY

Awaiting Board Approval – due March 2017

Autumn 2017

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PREAMBLE

This policy provides guidance for staff about how to raise concerns using the Whistleblowing Policy. It also provides guidance for Head teachers, the Governors of the Local Governing Body and Trustees of Humber Education Trust (HET) and line managers on how to manage the investigation of such concerns and the individuals who raise them.

The Board of Trustees of Humber Education Trust adopted this policy for employees of Humber Education Trust on 4 December 2017. The Board will review it again in 2 years' time. However, should there be any changes/further national guidance issued relevant to this policy, it will be updated accordingly prior to the review date shown above and referred to the next Trust Board meeting.

SECTION 1

Introduction

1.1 Most of us, during our working life, have concerns about what is happening in the workplace. Usually, these issues are easily resolved – but when they are about unlawful conduct, financial malpractice or dangers posed to people or the environment it can be difficult to know what to do next.

1.2 An employee may be worried about raising such concerns or may want to keep them to themselves. An employee may feel the issue at hand is none of their business or that it's only a suspicion for which they have little evidence. An employee may feel that raising the matter would be disloyal to colleagues, governors, the head teacher/CEO or the school/Trust. An employee may decide to say something but find that having spoken to the wrong person or raised the issue in the wrong way they are not sure what to do next.

Scope

1.3 This policy applies to all employees, whether permanent, temporary, seconded or casual and those 'personnel' working in or on the school's premises for example: agency staff, contractors and volunteers. It also covers suppliers and those providing services under a contract with a school in Humber Education Trust (HET).

Purpose

1.4 This policy is designed to enable an employee to raise their concerns at an early stage and in the right way. All employees of the school/HET have a duty to raise these concerns. The Trust Board and Local Governing Body believe that helping employees to do so is an important part of ensuring that Humber Education Trust and all its schools are well-run and safe.

1.5 Providing the concern is genuine, the Trust Board/Local Governing Body would prefer an employee to raise their concern as soon as possible rather than waiting for proof; if it falls within the areas as listed in paragraph 1.6 and **Appendix 1** by using this policy.

Application of the Policy

1.6 The Whistleblowing Policy is intended to cover genuine concerns that are not covered by other procedures and which an employee genuinely believes the school/Trust should look into.

Such concerns include:-

1. Unlawful conduct/criminal offence or activity
2. Financial malpractice - fraud, corruption, financial impropriety or theft
3. Criminal activity at the academy
4. Deliberate miscarriage of justice
5. Abuse of authority for illegal or unethical purposes
6. Academic malpractice
7. Sexual or physical abuse of any employee or service recipient is taking place (subject to Child Protection Procedures)
8. Discrimination is occurring against any member of staff or service recipient on the grounds of sex, race, disability or sexual orientation
9. The health and safety of any individual has been/is likely to be endangered
10. Contravening the governing body's policies or the school's code of conduct
11. Deliberate concealment of any of the above

1.7 **Appendix 1**, are examples of the kind of issues the Local Governing Body/Trust Board would consider as malpractice or wrong-doing that could be raised under this policy. This should not, however, be regarded as a complete list. If an employee is in any doubt about any issue, they need to raise it.

Which concerns do not fall within remit of the policy?

1.8 The Whistleblowing Policy is primarily for concerns where the interests of other people or the organisation are at risk. It only applies if an employee is raising a concern in the public rather than their own individual interest.

1.9 If the concern is about their own personal position in school or the way as an employee they have been treated, this must be raised through the Grievance Procedure. A copy of this procedure is available in each school within Humber Education Trust.

1.10 The Whistleblowing Policy is therefore not intended to be used when other more appropriate procedures are available for example:-

- Grievance
- Bullying and Harassment
- Complaints of misconduct
- Child Protection

1.11 Where a concern is raised about an individual or individuals, once the concern has been investigated under the Whistleblowing Policy, there may be a need for further investigation or action. This would take place within the framework of a different policy e.g. the Disciplinary Procedure.

1.12 Where this is the case, the employee will be notified that the investigation under

the Whistleblowing Policy has ended.

Is a member of Humber Education Trust/Local Governing Body and its schools knows of wrong doing, is making a disclosure obligatory?

1.13 This Policy is intended to facilitate disclosure as it affords protection to an individual who wishes to disclose information and therefore, it is intended to permit Humber Education Trust and its schools to deal with malpractice as it arises. The spirit of the policy is to protect individuals who wish to make a disclosure in the interest of the public and of the school. It does not constitute an obligation to disclose information but HET would hope that staff would recognise that they have a duty to report a concern. However, this does not apply to child protection procedures which must always be disclosed.

1.14 If an employee is concerned that a young person is at risk of harm, the guidance in the DfE's Safeguarding Children and Safer Recruitment in Education (2007) document and the Management of Allegations of Abuse (Schools) Policy obliges an employee to report their concerns. If an employee is concerned that a young person is being harmed or at risk of being harmed, or if there is a concern about a staff member, volunteer or contractor's suitability to work with children, an employee must report this using the Management of Allegations of Abuse Policy. If, however, an employee is concerned about:-

1. an individual's professional practice, or
2. the leadership and/or management of the school, or
3. the school's policies, procedures and/or ways of working

may be undermining the safety and wellbeing of young people, or leaving them vulnerable to risk, or if an employee is worried about the way in which safeguarding allegations have been managed, they should express these concerns through the Whistleblowing Policy.

Independent advice

1.15 If an employee is unsure whether to use this policy, or if they wanted independent advice at any stage, they can contact:-

- Their trade union, if applicable – **Appendix 2**
- The independent charity Public Concern at Work whose lawyers are available to give free confidential advice at any point in the process. Their helpline is 020 7494 6609.

Our assurances to you

1.16 An Employee's Safety

1.17 The Local Governing Body and Trust Board recognises that the decision to report a concern can be a difficult one to make and the schools within Humber Education Trust are fully committed to the assurances given in this policy. If an employee raises a genuine concern under the Whistleblowing Policy, they will not be at risk of losing their job or suffering any form of reprisal as a result.

1.18 The Local Governing Body and Trust Board will not tolerate harassment, bullying or victimisation and will take action to protect an employee.

1.19 This protection applies not only whilst an employee is employed, but also after the working relationship has ended as far as possible.

1.20 Provided an employee acted in good faith, it does not matter if the employee is mistaken. However, if an employee maliciously raises a matter which they know is untrue, disciplinary action may be taken against the employee in accordance with the school's Disciplinary Procedure.

Confidentiality

1.21 Confidentiality: within the school/Humber Education Trust

1.22 Humber Education Trust/Local Governing Body will treat the identity of a person making disclosures as confidential as far as possible, unless the discloser fails to comply at all times fully with this policy; however Humber Education Trust/Local Governing Body representatives are legally obliged to reveal the identity, or the discloser's identity if it is introduced to the public domain by other means. It should be noted that there may be occasions, when the type of information revealed will be such that the identity of the discloser may be naturally determined by others.

1.22 In accordance with the Act, the protections apply, provided that: the discloser makes the disclosure in good faith; and in the reasonable belief that the disclosure tends to show malpractice; and not maliciously or for personal gain. This policy does not offer protection in the case of a vexatious disclosure.

1.24 The Chair of the Local Governing Body/Chair of the Trust Board will keep records of the disclosure and all proceedings. S/he will if possible consult the discloser before granting at any time during or subsequent to the disclosure procedure access to the papers for any person not privy to the papers. Unless there is a legal obligation to reveal the papers, they will be revealed to other parties only in conformity with procedures and prevailing legislation.

1.25 Confidentiality: outside of the school/Humber Education Trust

1.26 Depending on the circumstances, the school/HET might be obliged to make a report to the police or other appropriate public body. This will not affect the protection afforded to the discloser.

1.27 If an individual chooses to disclose externally, this procedure will afford protection if he or she:

- a) reasonably believes that the information tends to show malpractice; and
- b) acts in good faith; and
- c) is not making the disclosure for personal gain; and
- d) reasonably believes that the information is substantially true; and
- e) makes the disclosure to an appropriate external statutory body, such as the Department for Education (DfE), ESFA, the National Audit Officer (NAO) or the Health and Safety Executive.

1.28 The confidentiality of any discussions with a lawyer, for the purpose of legal advice in connections with a disclosure under this procedure, is protected under legal advice and client privilege.

1.29 The discloser should not reveal any part of his or her disclosure outside the school/HET until all steps in this policy have been exhausted, except: to a public body; or to a professionally qualified lawyer for the purpose of taking legal advice.

1.30 The discloser will be responsible for ensuring that any representative or lawyer, whom he or she has informed of the disclosure, observes the provisions of this policy.

1.31 If the situation arises where resolution of the concern is not possible without revealing identity (for instance, because evidence is needed in court), discussions with the employee raising the matter will be held on how to proceed.

1.32 Please also note that any confidentiality clause within any other policy, agreement or contract should not prevent an employee from raising a genuine public interest concern under the Whistleblowing Policy.

What happens if a discloser changes his or her mind?

1.33 Once the disclosure has been made it may be retracted at any time. Humber Education Trust/Local Governing Body reserves the right to proceed with the investigation by any other means at its disposal, and to take action in light of its findings, even if the discloser does not wish to proceed further.

Anonymous Allegations

1.34 Disclosers will be expected to put their name to any disclosures they make, on the understanding that great care will be taken to protect their identity as provided for in this procedure. Disclosures made anonymously will only be considered if the school/HET thinks it is warranted on the basis of:

- a) the gravity of the issues raised; and
- b) the amount of evidence provided; and
- c) the likelihood of confirming the allegation from alternative credible sources.

Untrue Allegations — Disciplinary Offences (see paragraph 2.19)

1.35 Under this procedure it will be a disciplinary offence to:-

- a. make a disclosure found to be vexatious or malicious; or
- b. obtain pecuniary benefit from a disclosure.

1.36 If an allegation is made in good faith, but it is not confirmed by the investigation, no action will be taken against the discloser.

An employee's right to support in meetings

1.37 In any meetings that have a connection to an employee's whistleblowing concern, they have the right to be accompanied by their trade union representative or

a work colleague (providing they are not involved in the issue and would not be called as a witness). These meetings might include:-

- a) A meeting with their line-manager or other appropriate person to raise their concern.
- b) A meeting with an investigation officer in connection with their concern.
- c) Taking part as a witness in any action taken as a result of raising the concern e.g. disciplinary proceedings

1.38 Contact details of trade union representatives can be found in **Appendix 2**.

SECTION 2 – RAISING CONCERNS

How to report a concern

2.1 There are a number of different ways to raise a whistleblowing concern – an employee can choose the one that suits them. It doesn't matter which one is chosen but the person who an employee raised their concern to will need to properly consider it. An employee will need to be clear that when they are raising a concern, they are doing so under the Whistleblowing Policy. (If at any stage it is believed that an employee's concern is a grievance rather than a whistleblowing matter, the employee must be informed).

2.2 Although an employee can raise their concern verbally, an employee may find it easier to do so in writing – this way, the employee can keep a record of what they have reported as well as giving themselves time to make sure they have included all the relevant information. If an employee wishes to make a written report, **Appendix 3** is a standard reporting form which can be used.

2.3 In any event, the report should take the following format:-

- the nature, background and history of the concern (giving relevant dates);
- the reason why an employee is particularly concerned about the situation.
- names of those alleged to be involved in the malpractice

2.4 If an employee is a member of a trade union, they may find it helpful to take advice from them about putting their concerns in writing. The earlier an employee expresses the concern the easier it is to take action. An employee is not expected to prove, beyond doubt, the truth of an allegation, but they will need to demonstrate to the person contacted that there are reasonable grounds for their concern. There is no reason why an employee cannot use email to raise a whistleblowing concern. However, if they decide to choose to use email, extra care must be taken to make sure that their message is sent to the correct person and consider that due to the nature of email communication it may be read by other people. To help make sure concerns are seen and handled quickly, it is advised to mark the subject box: '*Whistleblowing – confidential – recipient only*'. The employee must also add an electronic signature to confirm it is from themselves.

2.5 If however, an employee does not wish to put their concern in writing, they can

telephone or arrange to meet with the appropriate person.

Who to contact with your concern

2.6 If an employee does have a concern which they believe is covered by the Whistleblowing Policy, it is hoped that as an employee of HET they would feel able to raise it first with their immediate line manager. This may depend, however, on the seriousness and sensitivity of the issues involved and who the employee may think might be involved in the malpractice.

2.7 For example, if an employee believes that their line manager is involved, they should approach the Head teacher, or the Head teacher is involved, the Chief Executive Officer (CEO) or the Chair of the Local Governing Body. If it is about the CEO, then the Chair of the Trust Board should be approached.

External contacts

2.8 The schools hope this policy gives employees the reassurance they need to raise such matters internally. If, however, an employee feels unable to raise their concern internally HET would much rather an employee raises the matter with the appropriate agency than not at all. Provided an employee acted in good faith and they have evidence to back up their concern, an employee can contact any of the following:-

1. External audit (the Audit Commission – 0844 798 3131 or 0117 975 3131)
2. Relevant regulatory organisations (such as the Department of Education, ESFA or Ofsted)
3. Their solicitor
4. The police
5. Other bodies prescribed under the Public Interest Disclosure Act. These include, but are not limited to the Information Commissioner's Office, the Serious Fraud Office, the Environment Agency, the Health and Safety Executive.

2.9 If an employee does refer their concern to an individual or organisation outside the school/Humber Education Trust, they will need to ensure that they do not disclose confidential information.

SECTION 3 – DEALING WITH AN EMPLOYEE'S CONCERN

How the school/HET will handle the matter – Receiving Officer

3.1 Once a concern has been reported, it will be assessed to see what action should be taken. This could be to an employee's line manager, head teacher or the CEO (i.e. the Receiving Officer). If they are not able to resolve the matter or if the concern has been raised with the Chair of the Local Governing Body/Chair of the Trust Board, they will make initial enquiries to assess whether an investigation is appropriate and, if so, what

form the investigation should take. At this stage the Receiving Officer should write to the employee to confirm the concern has been received, within 5 working days, of if the form (Appendix 3) has been received, sign it and return a copy back to the employee (discloser).

3.2 If an employee did not raise their concern directly with the Chair of the Local Governing Body/Chair of the Trust Board, unless the disclosure referred to them, they will still be notified for monitoring purposes.

3.3 Concerns or allegations that fall within the scope of specific procedures (for example, child protection or discrimination issues) will normally be referred for consideration under those procedures. If an employee's concern falls more properly within a different procedure, they must be told and the reason why.

3.4 Some concerns may be resolved without the need for an investigation. If urgent action is required, this will, wherever possible, be taken by the head teacher/CEO.

3.5 The length of time it takes for the school/HET to respond will depend on the nature of the issue employee is disclosing. If there is a safeguarding or health and safety risk, for example, an employee must be contacted immediately.

3.6 If it is confirmed that the Whistleblowing Procedure is the appropriate route and that an investigation is required the Receiving Officer will tell inform the employee in writing of the following:-

- a) The concern will be recorded
- b) An Investigating Officer will be identified – how the employee can contact them
- c) Who will investigate and the likely timescale for the investigation within 10 days, where practical.
- d) Whether any initial enquires have been made
- e) Provide information on available support, where appropriate

3.7 If a further investigation is required, this may also involve:

1. An internal investigation
2. Referral to the police
3. Referral to an external auditor
4. An independent enquiry

3.8 If there is insufficient information to make a decision about the most appropriate course of action, the employee will be asked for more information. If it is decided not to investigate further, the employee must be told what enquiries have been made and the reasons for the decision by the Receiving Officer.

3.9 Although, an employee is not expected to prove the truth of any allegation, they will need to demonstrate that there is sufficient reason for expressing a concern. The policy provides protection to employees who raise issues in the genuine belief that there is serious cause for concern. If the complaint is found to be in bad faith, disciplinary action may be considered.

An Employee's right to the support of a trade union representative or colleague

3.10 When any meeting is arranged to discuss an employee's concern they have the right to be accompanied by a trade union representative or a work colleague (who is not involved in the area of work to which the concern relates and who also could not be called as a witness). The attendance of any representative or witness who is an employee of the academy will require the prior approval of his/her line manager for absence during his/her normal working hours.

SECTION 4 – THE INVESTIGATION

4.1 The appointed investigating officer may ask an employee to put their concerns in writing and provide as much evidence as possible. It may also be necessary to ask an employee to provide a witness statement. An employee will have the opportunity to confirm that the information they have provided is accurate and complete, before it is used in the investigation. An employee will be asked to agree that the information they have provided and that their name may be disclosed so that the investigating officer can decide how the Chair of the Local Governing Body/Chair of the Trust Board will respond and investigate the issue.

4.2 If an employee does not want to disclose their identity the Investigating Officer will decide how to proceed.

4.3 The Investigating Officer may need to contact an employee or other witnesses during the investigation.

4.4 The investigation will be carried out as quickly as possible but the time taken will depend on the nature of the issues raised and the availability and clarity of the required information. An employee will be updated at 28 day intervals unless this is not practicable.

4.5 If an employee is required to take part in the investigation they will have the right to be accompanied as set out in paragraph 3.10.

The outcome

4.6 The investigation will be concluded with a written report of enquiries made, the findings on the strength of the evidence and whether the substance of the allegations has been established.

4.7 Where legal and confidentiality constraints allow, an employee will receive information about the outcome of any investigation. If the investigation continues within the framework of another procedure, the school/HET will, if able, inform the employee of this.

4.8 If, however, the provision of further information would result in the school/HET breaching an individual's confidentiality or the law, we may not be able to inform an employee, as the person who made the disclosure, whether the investigation has continued under the framework of other policies since to do so may jeopardise the

outcome of any further investigation. The employee will, however, be informed that the investigation is concluded under the framework of the Whistleblowing Policy.

4.9 If the investigation concludes that the allegations are not substantiated, the report will conclude whether the concerns were raised in good faith.

Type of protection given to someone named in a disclosure

4.10 The identity of a person who is subject of a public interest disclosure under this procedure will be protected as far as possible. If the case against him/her is heard under the Confidential Reporting (Whistleblowing) Procedure, his/her rights to respond to accusations or to remain silent and to have representation, will be the same as under the relevant disciplinary procedure. If a person chooses to remain silent, the academy reserves the right to investigate the disclosure by any means at its disposal.

Protection for officers designated in the procedure

4.11 No officer designated in the procedure shall be held personally liable for any errors in, or consequences arising from, the commission of his/her duties under this procedure.

Monitoring

4.12 Within the school, a central record of all whistleblowing complaints, including dates, substantive issues, findings and outcomes will be retained by the Chair of Governors/Chair of the Trust Board. The Chair will report as necessary to the Local Governing Body/Trust Board in a way that maintains an employee's confidentiality as far as possible.

Humber Education Trust's commitment to support an employee through the process

4.13 The Local Governing Body/Trust Board will take steps to minimise any difficulties, an employee may experience as a result of raising a concern. For instance, if an employee is required to give evidence in criminal or disciplinary proceedings, the Local Governing Body/Trust Board will try to advise an employee about the procedure. If an employee is asked to attend a meeting, the employee will be given a minimum of five days' notice, where possible.

4.14 The Trust Board accepts that an employee will need to be assured that the matter has been properly addressed. Thus, subject to legal constraints and confidentiality, an employee will receive information about the outcome of any investigations.

The Responsible Officer – Recording and Monitoring

4.15 The Chair of the Local Governing Body or the Chair of the Trust Board for HET, (who is also the monitoring officer for each school/HET), has overall responsibility for the maintenance and operation of this policy. The head teacher/CEO will maintain a record of concerns raised and the outcomes (but in a form which does not endanger an employee's confidentiality).

SECTION 5 – IF YOU ARE DISSATISFIED

5.1 If an employee is unhappy with the response to their concerns they can use the other routes detailed in this policy. HET cannot guarantee that we will respond to all matters in the way that an employee might wish, but they will try to handle the matter fairly and properly.

APPENDIX 1 – EXAMPLES OF CONCERNS THAT MAY BE RAISED

This list shows the kind of issues that may be raised under the Whistleblowing Policy. However, there may be other concerns that can be raised under the policy that are not shown here; if you are aware of such an issue, please report it.

- Poor or unprofessional practice by a member of staff or an agency that results in the service user not getting the same quality of service which is available to others.
- Children or young people being put at risk by an individual's professional practice, or the leadership and/or management of the school, or the school's policies, procedures and/or ways of working.
- Allegations of a safeguarding nature not being taken seriously or appropriately handled.
- Improper/unacceptable behavior towards employees, volunteers, contracted workers or service users which could take the form of emotional, sexual or verbal abuse, rough handling, oppressive or discriminatory behavior or exploitative acts for material or sexual gain.
- Any unlawful activities, whether criminal or a breach of civil law.
- Fraud, theft or corruption.
- Concerns regarding possible breaches of Health and Safety regulations.
- Harassment, discrimination, victimisation or bullying of employees, volunteers, contracted workers and/or service users.
- Leaking confidential information in respect of governing body activities or records.
- Misuse of pupil, employee, volunteer or financial data (including attainment information and personal details).
- Doing undisclosed private work which may conflict with working for the school, or which is being carried out during working time.
- Inappropriate contact with members of the public within school facilities, or whilst carrying out school duties outside of working time.
- Taking gifts or inducements.
- Inappropriate use of external funding or the school budget.

- Maladministration as defined by the Department of Education, Local Government Ombudsman or appropriate examination boards.
- Breach of any statutory code of practice.
- Breach of, or failure, to implement, or comply with any governing body or Multi Academy Trust policy.
- Misuse of school assets including, but not limited to, computer hardware and software, buildings, stores, vehicles and/or equipment.

Trade Union Contact List

Teachers Unions

Mike Whale (NEU) Hull NEU 39 Alfred Gelder Street Hull HU1 2AG	Mobile: 07528780098 Email: hullnut@hullnut.karoo.co.uk
Adrian Joice (NASUWT) 7 Scotts Garth Drive Tickton Beverley HU17 9RR	Tel: 01964501956 Mobile: 07966231855 Email: hullsec@nasuwt.net NASUWT Member Support Advice Service – 03330145550 (8.00 am to 6.30 pm)
Jackie Watton (ATL) Teaching Staff	Mobile: 07834178926 Email: Jackie.watton@exec.neu.org.uk
Paul McGann (National Association of Head Teachers)	Mobile 07738411465 Tel: 0114 2330067 Email: paul.mcgann@naht.org.uk
Cherry Ridgway (ASCL)	Mobile: 07779996347 Email: cherry.ridgway@ascl.org.uk
Dr Morris Charlton (VOICE) Regional Officer for Yorkshire and Humber	Email: morris.charlton@yahoo.co.uk

Support Staff Unions

Mr Ian Wood (UNITE the union), Regional Officer, Anchor House Silvester Street HULL HU1 3HA	Tel: 08456046371 Mobile: 07736479808 Email: ian.wood@unitetheunion.org
Kevin Dudding (GMB)	Mobile: 07771966780 Email: feb52@hotmail.co.uk
Tony Graham (GMB)	Email:- grah-grah@hotmail.com
David Oglesby (GMB) – Regional	Tel: 01482 218018 Dave.oglesby@gmb.org.uk
(UNISON) Hull City Branch	Tel: 01482318670 Email: m.hunter@unisonhull.org.uk

<p>39 Alfred Gelder Street HULL HU1 2AG</p> <p>Marian Hunter (Admin Team) Adrian Kennett Clive Piper (Case Manager Schools)</p>	<p>Email: m.hunter@unisonhull.org.uk Email: a.kennett@unisonhull.org.uk Email: c.piper@unisonhull.org.uk</p>
<p>Jackie Watton (NEU Support Staff)</p>	<p>Mobile: 07834178926 Email: Jackie.watton@exec.neu.org.uk</p>



Confidential Reporting (Whistleblowing Policy Humber Education Trust

Report Form

CONFIDENTIAL REPORT - Whistleblowing Policy

Report submitted to:		Date Submitted:	Report No. (Office Use Only)
Report from: (full name)		Address for correspondence:	
Job Title/Designation:		Post Code:	
Grade:	School:	Telephone Number:	

NOTE: Please start your report with the background and history of the issue, giving relevant dates and the reason you are concerned about the situation.

In accordance with the Confidential Reporting (Whistleblowers') Policy, which I have read, I wish to make the following disclosure:

Please continue on page 2, if necessary, and sign at the end of your report.

CONFIDENTIAL REPORT – Whistleblowing Policy

Continued:

CONTINUE ON A SEPARATE SHEET IF NECESSARY

IMPORTANT

Sign and date the form at the end of your report. Take a photocopy of the form for your own records. Now follow the procedure on page 3.

To be signed by the officer receiving the report

Received by (PRINT NAME):

Date Received:

Signature of recipient:

Confidential Reporting (Whistleblowers) Procedure

PLEASE READ THIS IN CONJUNCTION WITH THE ABOVE PROCEDURE

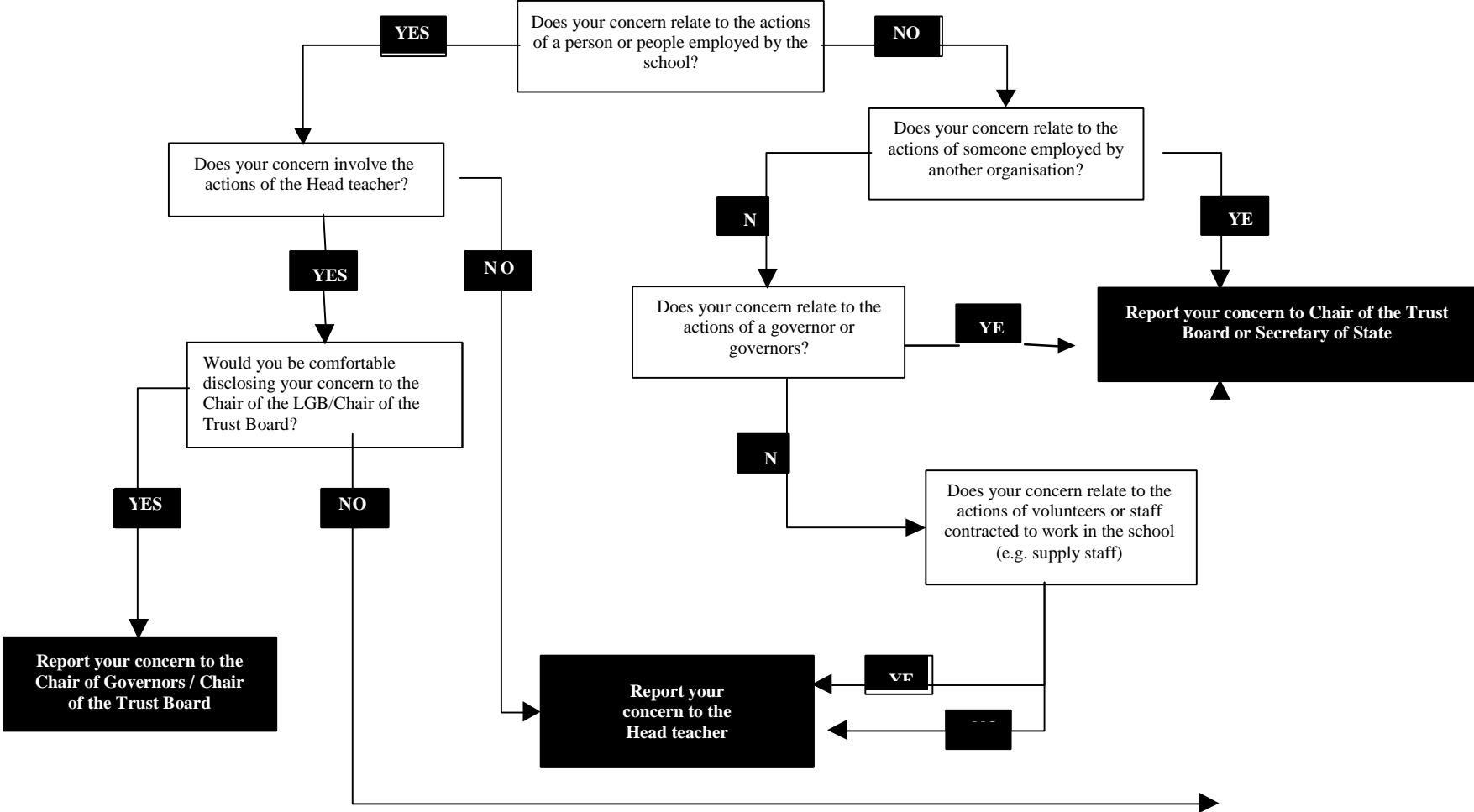
PERSON MAKING THE REPORT

1. Complete the report form giving full details and take a photocopy for your records.
2. Deliver, by hand if possible, the two copies of the report to your line manager, or if, for some reason, that is not possible, to your head teacher/CEO
3. The receiving officer will sign both copies and return one copy to you.
4. You are encouraged to put your name to your report, but anonymous reports may be forwarded by mail, marked "PRIVATE & CONFIDENTIAL".
5. The receiving officer will respond to your concerns and the matter may, following initial enquiries, need further investigation, or it may need referring to other agencies, depending on the circumstances. If any urgent action is required, this will, wherever possible, be taken by the chair of governors/head teacher/CEO/Chair Trust Board before any investigation is undertaken.
6. You may be asked to attend meetings with management representatives, aimed at seeking further information and clarification. During any meetings, you have the right to be accompanied by a work colleague or trade union representative, providing their isn't a conflict of interest.
7. The procedure gives a list of people from whom you may obtain advice and guidance.
8. You will be informed of the outcome of any investigations, as soon as possible.

OFFICER RECEIVING THIS REPORT

1. Within 5 working days of receiving the form, the receiving officer will:
 - Return a copy of the form back to the employee (discloser);
 - inform other personnel, if applicable.
2. Anonymous reports should be forwarded to the Chair of the Local Governing Body/Head teacher or the CEO/Chair Trust Board directly.

APPENDIX 4 – REPORTING CONCERNS THROUGH THE WHISTLEBLOWING POLICY



ESFA, DfE

APPENDIX 5 – MANAGING A CONCERN THROUGH THE WHISTLEBLOWING POLICY (Y = Yes and N= No)

