



# PTC WHISTLE BLOWING POLICY

Adopted January 2018

## ABOUT THIS POLICY

This Whistle Blowing Policy sets out how the Town Council will deal with disclosures made by employees, contractors, volunteers or Members, of malpractice, illegal acts or omissions of work.

Ian Morris, Town Clerk

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## 1. Introduction

The word 'whistleblowing' in this policy refers to a disclosure made in good faith and in the public interest by employees, contractors, volunteers or Members, of malpractice, illegal acts or omissions at work.

A whistleblower is a witness and not a complainant. Whistleblowing is not the same as making a complaint or raising a grievance, where the individual is saying that they have been personally poorly treated. A whistleblower is usually not directly or personally affected by the matter concerned.

## 2. Statement of Commitment

Peterlee Town Council is committed to achieving the highest possible standards of service and practice, and the highest possible ethical standards in public life. As such, the Council takes malpractice and wrongdoing very seriously and will take all reasonable steps towards its prevention and detection.

Peterlee Town Council recognises that in many cases the Council's employees, Members, volunteer helpers or contractors will be the people most likely to become aware of wrongdoing or malpractice. In light of this, the Council encourages its staff, Members, contractors and volunteers to use the mechanisms set out in this policy to report potential malpractice without having to worry about being victimised, discriminated against or disadvantaged in any way as a result.

Where Council employees or Members are aware of or suspect malpractice, the Council expects them to report their suspicions. Employees are explicitly required to report suspicions of malpractice or breaches of policy under the staff Code of Conduct. The Council will treat failure to report wrongdoing or malpractice as a serious matter.

Peterlee Town Council will not tolerate any harassment or victimisation of a whistle-blower (including informal pressures), and will treat this as a serious disciplinary offence. Appropriate disciplinary action may be taken in accordance with the Council's Disciplinary Procedure.

## 3. Legal Framework

Under the Public Interest Disclosure Act 1998, workers who raise genuine concerns about a range of misconduct or malpractice at work have statutory protection against victimisation and dismissal.

An employee who 'blows the whistle' will be protected by the Act if the disclosure is made in good faith about any of the following:

- a criminal act;
- failure to comply with a legal obligation;

- miscarriages of justice;
- danger to health and safety;
- any damage to the environment; or,
- an attempt to cover up any of the above.

A whistleblower will not be protected under the Act if they break the law when making a disclosure.

#### 4. Scope of this Policy

Peterlee Town Council has a range of policies and procedures in place to deal with standards of behaviour at work, including a Grievance Policy, Disciplinary Policy, Dignity at Work Policy and a raft of other specific policies. Employees are encouraged to use the provisions of these procedures when appropriate.

Service users should make complaints or raise concerns through the Council's Complaints Procedure.

Therefore, this Whistleblowing Policy should not be used to deal with complaints that employees may have about their employment in most circumstances. The aim of the Whistleblowing Policy and Procedure is to enable employees, Members, contractors and volunteers to report an issue if they feel that it cannot be done using the existing procedures, particularly if the matter is not about their personal employment position. Whistleblowing refers to issues that are of such importance that the public interest is served by reporting the issue.

The following is a list of examples when this policy may be used (please note that this list is not exhaustive):

- When any unlawful act, whether criminal or a breach of civil law, has been committed, is being committed or is likely to be committed;
- suspected corruption or fraud;
- disregard for legislation, particularly that of health & safety at work;
- a breach of a code of conduct;
- misuse of assets, including stores, equipment, vehicles, buildings, computer hardware and software;
- causing damage to the environment;
- breach of financial regulations;
- showing undue favour over a contractual matter or to a job applicant;
- breach of, or failure to implement or comply with, any policy determined by the Council;
- failure to take reasonable steps to report and rectify any situation which is likely to give rise to a significant avoidable cost, or loss of income, to the Council or would otherwise seriously prejudice the Council;
- abuse of power, or the use of the Council's powers and authority for any unauthorised or ulterior purpose; or

- deliberately concealing information in relation to any of the items on this list.

Whilst volunteers are not covered by the Public Interest Disclosure Act, this Council's policy has been written to encompass Members and volunteers.

## 5. How to Disclose Information

### 5.1 The Town Council

The *Public Interest Disclosure Act* directs workers towards raising matters internally within the Town Council in the first instance, and to use the internal whistleblowing policy.

For a disclosure to be protected by law, a whistle-blower must:

- make the disclosure in good faith;
- reasonably believe that the information is substantially true

### 5.2 A Legal Advisor

A disclosure of information for the purpose of obtaining legal advice is protected.

### 5.3 Prescribed Persons

Whilst the Town Council strongly encourages disclosures to be made internally, if a whistleblower feels unable to use the procedure outlined within this policy they can make a disclosure to other people/organisations as prescribed by government. The most relevant prescribed people relating to the Town Council are:

- The Health and Safety Executive and Durham County Council for health and safety risks;
- The Environment Agency;
- The Serious Fraud Office;
- Inland Revenue;
- Customs & Excise;
- National Audit Office; and,
- Information Commissioners Office (ICO).

To make a protected disclosure to a prescribed person, the whistleblower must:

- make the disclosure in good faith;
- reasonably believe that the information is substantially true; and,
- reasonably believe that the information is being disclosed to the right person or organisation.

## 6. Wider Disclosures

A whistleblower would also be protected under the Act if they made wider disclosures, e.g. to a professional body, the Police or an MP etc., if the whistleblower:

- makes the disclosure in good faith;
- reasonably believes that the information is substantially true;

- does not act for personal gain; and,
- acts reasonably taking into account the circumstances.

In order to make a protected wider disclosure, the whistle-blower must either:

- reasonably believe that the Council would treat them unfairly if they made a disclosure internally or to a prescribed person;
- reasonably believe that an internal disclosure would result in the destruction or cover-up of evidence; and,
- have previously disclosed the same or very similar information internally or to a prescribed person.

## 7. Whistleblowing Procedure

### 7.1 Confidentiality

If the whistleblower requests confidentiality, the Council will not reveal the whistleblower's name or position without their permission. It is, however, easier to pursue and verify complaints if the whistle-blower provides his/her name. Unsupported, anonymous complaints and allegations will be treated with caution.

There may be circumstances when the Council is legally obliged to disclose the name of a whistleblower, e.g. when ordered to by a court.

### 7.2 Protection for Whistleblowers

If an employee, Member, volunteer or contractor raises a concern which they believe to be true, the Council will take appropriate action to protect the individual from harassment, victimisation and bullying. Employees who raise a genuine concern under this policy will not be at risk of losing their job.

However, a whistleblower will not be protected from the consequences of making a disclosure if, by doing so, they commit a criminal offence.

### 7.3 Involvement of Trade Unions

Peterlee Town Council recognises the right of whistleblowers to be advised and represented by their union when raising concerns under the whistleblowing procedure.

### 7.4 Designated Officer

The Town Clerk is the Designated Officer to be a point of contact for concerns raised under this procedure.

### 7.5 Raising a Concern

An employee should normally raise their concerns about wrongdoing or malpractice with their immediate line manager. Whilst the whistleblower is not expected to prove the truth of an allegation or to investigate the matter themselves, the whistleblower should have a reasonable belief and some evidence to back it up before raising their concerns. The manager will notify the Designated Officer within two working days whenever possible.

Where it is not appropriate to go via normal management reporting channels, because the matter is serious and sensitive (e.g. if the whistleblower believes that his or her manager is involved), he/she should contact the Designated Officer. Members, volunteers and contractors should contact the Designated Officer.

The Designated Officer must take all concerns seriously.

Where, exceptionally, the concern is about the Town Clerk, the concerns should be reported to the Chairman of the Council, who will decide how the investigation will proceed. This may include an external investigation. In normal circumstances the Chairman will consult with Durham County Council's Internal Audit and Fraud Manager in the first instance.

### 7.6 Employer's Response

Within ten working days, the Town Clerk will arrange an initial interview to ascertain the nature of the whistleblower's concern. The interview will be confidential if requested by the whistleblower. The whistleblower has the right to bring a friend, colleague or union representative along with them. The friend must observe confidentiality.

At this stage, the whistleblower will be asked whether they wish for their identity to be disclosed and will be reassured about protection from possible reprisals or victimisation.

The whistleblower will be asked if they wish to make a written or verbal statement. In either case, the Town Clerk will write a brief summary of the interview, which will be agreed by both parties.

The Town Clerk will be responsible for the commission of any further investigation.

### 7.7 Investigation

The investigation may need to be carried out under strict confidentiality, i.e. the subject of the investigation will not be informed until, or if, it becomes necessary to do so. This may be appropriate in cases of suspected fraud. In most cases the investigation will involve consultation with Durham County Council's Internal Audit and Fraud Manager, and/or the County Council's Monitoring Officer (in the case of allegations involving an elected Member).

The Town Clerk will offer to keep the whistleblower informed about the investigation and its outcome.

If the investigation finds that there is a case to be answered by any employee, Peterlee Town Council's Disciplinary Procedure will be used.

If the investigation identifies that there is no case to answer, but that the whistleblower held a genuine concern and was not acting maliciously, the matter will be closed. The Town Clerk will ensure that the whistleblower suffers no reprisals or victimisation.

If the investigation discovers that an employee has made false accusations with malicious intent, appropriate disciplinary action may be taken in accordance with the Council's Disciplinary Procedure.

If the concern raised is very serious or complex, it may be necessary for an inquiry to be held. The Designated Officer may refer the issue to the police or other agencies in serious cases.

#### 7.8 Following the Investigation

The Town Clerk will arrange a meeting with the whistleblower within ten working days of the conclusion of the investigation in order to feedback any action taken. This will not include details of any disciplinary action taken, as this is confidential.

If the whistle-blower is not satisfied with the outcome of the investigation, the whistle-blower may make disclosures to prescribed persons, or wider disclosures, under the conditions outlined in section 5 above 'How to Disclose Information'.

### 9. Policy Review

The policy will be reviewed on a regular basis. In the event that an incident of whistleblowing takes place, Peterlee Town Council will take the opportunity to examine its policy, procedures and working methods to see if they can be improved.

Ian Morris

Town Clerk

January 2018.