Whistle Blowing Policy
March 2014

For Review in March 2016
**Key purpose and objectives**

This policy aims to:

- Provide a channel and process to raise genuine and legitimate concerns
- To deter serious malpractice; and
- To promote accountability.

**Key responsibilities**

**Head of Human Resources**
- To advise workers on the application of this policy

**Workers**
- To comply with this policy

**Vice Principal: Corporate Services**
- To undertake the role of disclosure officer when required
- To report disclosures and outcomes to the Corporation

**Vice Principal: Organisational Development**
- To undertake the role of disclosure officer when required

**Principal**
- To receive the recommendations and findings of the investigating officer as appropriate
- To hear appeals

**Chair of the Corporation**
- To undertake the role of disclosure officer when required
- To receive the recommendations and findings of the investigating officer as appropriate

**Member of the Senior/Management Team / external investigator/ Clerk to the Corporation (as appropriate)**
- To conduct the investigation into the disclosure
- To notify the worker of the outcome including recommendations in writing

**Policy and legislative connections**

- Employment Rights Act 1996
- Public Interest Disclosure Act 1998
- The Bribery Act 2010

<table>
<thead>
<tr>
<th>Review cycle</th>
<th>Every 2 years</th>
</tr>
</thead>
<tbody>
<tr>
<td>New review</td>
<td>March 2016</td>
</tr>
<tr>
<td>Next review by</td>
<td>Vice Principal Corporate Services</td>
</tr>
<tr>
<td>Distribution</td>
<td>All employees</td>
</tr>
<tr>
<td>College Success Areas</td>
<td>All</td>
</tr>
<tr>
<td>Approving body</td>
<td>Audit Committee and Corporation</td>
</tr>
<tr>
<td>Equality Analysis complete</td>
<td>06/01/2014</td>
</tr>
</tbody>
</table>
Contents

1. Key purpose and objectives
2. Key responsibilities
3. Introduction
4. Applicability of this policy and procedure
5. Protected disclosures
6. Subject Specific Matter
7. Procedure for making a disclosure
8. Procedure for the investigation of a disclosure
9. Safeguards for workers making a disclosure
10. Disclosure to external bodies
11. Accountability
12. Further Assistance
1. **Purpose and objectives**

1.1 This policy aims to:
   - Provide a channel and process to raise genuine and legitimate concerns
   - To deter serious malpractice; and
   - To promote accountability.

2. **Responsibilities**

2.1 Head of Human Resources
   - To advise workers on the application of this policy

2.2 Workers
   - To comply with this policy

2.3 Vice Principal: Corporate Services
   - To undertake the role of disclosure officer when required
   - To report disclosures and outcomes to the Corporation

2.4 Vice Principal: Organisational Development
   - To undertake the role of disclosure officer when required

2.5 Principal
   - To receive the recommendations and findings of the investigating officer as appropriate
   - To hear appeals

2.6 Clerk to the corporation
   - To undertake the role of disclosure officer when required

2.7 Chair of the Corporation
   - To undertake the role of disclosure officer when required
   - To receive the recommendations and findings of the investigating officer as appropriate

2.8 Member of the Senior/Management Team / external investigator / Clerk to the Corporation (as appropriate)
   - To conduct the investigation into the disclosure
   - To notify the worker of the outcome including recommendations in writing
3. Introduction

3.1 The College is committed to operating in an ethical and principled way. The aim of this policy and procedure is to provide employees and workers (referred to as ‘workers’ in this policy) with a means for raising genuine concerns of suspected bribery, breaches of the law and other serious wrongdoings.

3.2 The College encourages workers to raise genuine concerns about suspected wrongdoing at the earliest practicable stage. This policy and procedure is intended to provide safeguards to enable workers to raise concerns about malpractice in connection with the College.

3.3 This policy and procedure also aims to encourage workers to raise genuine concerns through internal College procedures without fear of adverse repercussions being taken against them. The law allows workers to raise such concerns externally and this policy informs workers how they can do so. However, a failure to raise a concern under this procedure may result in a disclosure losing its protected status under the law.

3.4 This policy and procedure also seeks to balance the need to allow a culture of openness against the need to protect other workers against vexatious allegations or allegations which are not well-founded.

3.5 The principles of openness and accountability which underpin legislation protecting whistle-blowers are reflected in this policy and procedure. The College is also committed to ensuring compliance with the Bribery Act 2010.

3.6 Learners at the College are also encouraged to raise genuine concerns about suspected wrongdoing by making a complaint via the Quality Team. This policy and procedure is designed solely for the use of workers of the College.

4. Applicability of this policy and procedure

4.1 This policy applies to all employees of the College, including apprentices; and

4.2 Workers which includes any casual workers; home-based casual workers; and employees of subcontractors; and

4.3 Agency workers engaged by the College.

4.4 Workers might be unsure whether it is appropriate to raise their concern under this policy and procedure or whether it is a personal grievance, which is more appropriate to raise under the College’s grievance procedure. Any worker in this situation is encouraged to approach the Head of Human Resources in confidence for advice.

5. Protected disclosures

5.1 The law protects workers who, out of a sense of public duty, want to reveal suspected wrongdoing or malpractice.

5.2 The law allows workers to raise what it defines as a ‘protected disclosure’. In order to be a protected disclosure, a disclosure must relate to a specific subject matter (see below) and the disclosure must also be made in an appropriate way (see below). A ‘protected disclosure’ must, in the reasonable belief of the worker making it, also be
made in the public interest. A protected disclosure must consist of information and not merely be allegations of suspected malpractice.

6. Specific Subject Matter

If, in the course of employment, a worker becomes aware of information which they reasonably believe tends to show one or more of the following, they must use this policy and procedure:

- That a criminal offence has been committed, is being committed or is likely to be committed;
- That an individual has failed, is failing or is likely to fail to comply with any legal obligation to which they are subject;
- That a miscarriage of justice has occurred, is occurring, or is likely to occur.
- That the health or safety of any individual has been, is being, or is likely to be, endangered.
- That the environment, has been, is being, or is likely to be, damaged.
- That information tending to show any of the above, is being, or is likely to be, deliberately concealed.

7. Procedure for making a disclosure

7.1 Information which a worker reasonably believes tends to show one or more of the situations given above should promptly be disclosed to the Vice Principal for Corporate Services so that any appropriate action can be taken.

7.2 A worker can raise also the issue with the Vice Principal for Organisational Development if the Vice Principal for Corporate Services is not available.

7.3 If the disclosure relates to the Principal, or the Clerk of the Corporation, a worker can raise the issue with the Chair of Governors.

7.4 Workers are encouraged to identify themselves when making a disclosure. If an anonymous disclosure is made, the College will not be in a position to notify the individual making the disclosure of the outcome of action taken by the College. Anonymity also means that the College will have difficulty in investigating such a concern. The College reserves the right to determine whether to apply this procedure in respect of an anonymised disclosure in light of the following considerations:

- The seriousness of the issues raised in the disclosure;
- The credibility of the concern; and
- How likely it is that the concern can be confirmed from attributable sources.

7.5 For further guidance in relation to this policy and procedure, or concerning the use of the disclosure procedure generally, employees should speak in confidence to the Head of Human Resources
8. **Procedure for investigation of a disclosure**

8.1 When a worker makes a disclosure, the College will acknowledge its receipt, in writing, within a reasonable time.

8.2 The College will then determine whether or not it believes that the disclosure is wholly without substance or merit. If the College considers that the disclosure does not have sufficient merit to warrant further action, the worker will be notified in writing of the reasons for the College’s decision and advised that no further action will be taken by the College under this policy and procedure. Considerations to be taken into account when making this determination may include the following:

- If the College is satisfied that a worker does not have a reasonable belief that suspected malpractice is occurring; or
- If the matter is already the subject of legal proceedings or appropriate action by an external body; or
- If the matter is already subject to another, appropriate College procedure.

8.3 When a worker makes a disclosure which has sufficient substance or merit warranting further action, the College will take action it deems appropriate (including action under any other applicable College policy or procedure). Possible actions could include internal investigation; referral to the College’s auditors; or referral to relevant external bodies.

8.4 If appropriate, an internal investigation would be conducted by a manager of the College without any direct association with the individual to whom the disclosure relates.

8.5 Any recommendations for action as a result of the investigation will be addressed to the Principal or Chair of the College’s Board of Governors as appropriate. The recipient will take all reasonable steps to ensure the recommendations are implemented unless there are good reasons for not doing so.

8.6 The worker making the disclosure will be notified of the outcome of any action taken by the College under this policy and procedure within a reasonable period of time. If the worker is not satisfied that their concern has been appropriately addressed, they can appeal against the outcome by raising the issue with the Principal within 10 working days. The Principal will make a final decision on any action to be taken and notify the worker making the disclosure.
9. Safeguards for workers making a disclosure

9.1 A worker making a disclosure under this procedure can expect their matter to be treated confidentially by the College and, where applicable, their name will not be disclosed to anyone implicated in the suspected wrongdoing, without their prior approval.

9.2 The College will take all reasonable steps to ensure that any report of recommendations, or other relevant documentation, produced by the College does not identify the worker making the disclosure without their written consent, or unless the College is legally obliged to do so, or for the purposes of seeking legal advice.

9.3 No formal disciplinary action will be taken against a worker on the grounds of making a genuine disclosure under this policy. This does not prevent the College from bringing disciplinary action against a worker where the College has grounds to believe that a disclosure was made maliciously or vexatiously, or where a disclosure is made outside the College without reasonable grounds.

9.4 A worker will not suffer dismissal or any detrimental action or omission of any type (including informal pressure or any form of victimisation) by the College for making a genuine disclosure in accordance with this policy and procedure. Equally, where a worker is threatened, bullied, pressurised or victimised by a colleague for making a disclosure, disciplinary action will be taken by the College against the colleague in question.

10. Disclosure to external bodies

10.1 This policy and procedure has been implemented to allow workers to raise disclosures internally within the College. A worker has the right to make a disclosure outside of the College where there are reasonable grounds to do so and in accordance with the law.

10.2 Workers may make a disclosure to an appropriate external body prescribed by the law. This list of ‘prescribed’ organisations and bodies can be found in information on the GOV.UK website.

10.3 Workers can also make disclosures on a confidential basis to a practising solicitor or barrister or to their Trade Union representative.

10.4 If a worker seeks advice outside of the College, they must be careful not to breach any confidentiality obligations or damage the College’s reputation in so doing.

11. Accountability

11.1 The College will keep a record of all concerns raised under this policy and procedure (including cases where the College deems that there is no case to answer and therefore that no action should be taken) and will report to the Corporation as appropriate.

12. Further assistance

12.1 The College will not tolerate any harassment or victimisation of workers who make
disclosures. If, at any stage of this procedure a worker feels that they are being subject
to informal pressures, bullying or harassment due to making a disclosure, they should
raise this matter, in writing, with the Head of Human Resources

12.2 A worker making a disclosure may want to confidentially request counselling or other
support from the College’s occupational health service. Any such request for
counselling or support services should be addressed to Human Resources. Such a
request would be made in confidence.

12.3 Workers can also contact the charity Public Concern at Work for confidential advice on
whistleblowing issues. Contact details are as follows:

    3rd Floor, Bank Chambers
    6 - 10 Borough High Street
    London SE1 9QQ

    Whistleblowing Advice Line: 020 7404 6609

    http://www.pcau.org.uk