

**CITY OF YORK COUNCIL**

**WHISTLEBLOWING POLICY and PROCEDURES**

**1. INTRODUCTION**

1.1 The City of York Council is proud of its track record of probity and high ethical standards. However, we are not complacent and we recognise that malpractice can occur. Any of us at one time or another may have concerns about what is happening at work. Most concerns are easily resolved. However, it might be more difficult to know what to do if the concern related to one of the following: -

- conduct which is an offence or a breach of the law,
- disclosures related to miscarriages of justice,
- health and safety risks, including risks to the public as well as other employees
- the abuse of a vulnerable person
- damage to the environment
- the unauthorised use of public funds
- misreporting of performance information
- possible fraud and corruption
- other unethical conduct

1.2 You may be worried about raising such issues yourself, perhaps feeling its none of your business or that it's only a suspicion. You may feel that raising the matter would be disloyal to colleagues, managers or to the organisation. You may decide to say something but find that you have spoken to the wrong person, or raised the issue in the wrong way and are not sure what to do next.

1.3 The Council wants you to feel able to raise your concerns about such malpractice at an early stage and in the right way. We would rather that you raised the matter when it is just a concern rather than wait for proof. Staffs working in children's homes have a legal duty to report concerns about the welfare or safety of children accommodated there and following this policy would meet that duty.

- 1.4 This Whistle-blowing Policy is primarily for concerns where the interests of others or the organisation itself are at risk. The kinds of issues described in paragraph 1.1 are obvious examples. If your concerns are about your own employment position though then it is more likely that the Grievance or the Prevention of Bullying, Harassment and Discrimination at Work Procedure should be used. You can get this from your manager, from Human Resources or the Council's intranet. Sometimes your concern may have elements of both. For example if you were being told to drive for an excessive number of hours this would affect both you and the wider community. We would prefer you to raise such concerns rather than worry about the appropriate procedure.

**If in doubt-raise it!**

## **2. OUR ASSURANCES TO YOU**

### 2.1 Your safety

The Council are committed to this policy. If you raise a genuine concern under this policy, you will not be at risk of losing your job or suffering any form of retribution as a result. Not only is the Council committed to this but you also have legal protection under the Public Interest Disclosure Act 1998. Providing you are acting in good faith, it does not matter if you are mistaken. Of course we do not extend this assurance to someone who maliciously raises a matter they know is untrue. If you make an allegation, frivolously or for personal gain, disciplinary action may be taken against you.

### 2.2 Your confidence

We will not tolerate the harassment or victimisation of anyone raising a genuine concern. Disciplinary action may be taken against those who victimise a person reporting a concern.

We hope that you will feel able to raise concerns openly as this will make it much easier to resolve any issues. We also know that others may well try to deduce the source of any complaint. However we recognise that you may nonetheless want to raise a concern in confidence under this policy. If you ask us to protect your identity by keeping your confidence, we will not normally disclose it without your consent. If the situation arises where we are not able to resolve the concern without revealing your identity (for

instance because your evidence is needed in court) we will discuss with you whether and how we can proceed. Despite your request for confidentiality, there may be circumstances therefore, where the Council must disclose your identity.

### Anonymous complaints

- 2.3 Remember that if you do not tell us who you are, it will be much more difficult for us to look into the matter or to protect your position or to give you feedback. Accordingly, while we will consider anonymous reports, this policy is not well suited to concerns raised anonymously.

## **3. HOW WE WILL HANDLE THE MATTER**

- 3.1 Once you have told us of your concern, we will look into it to assess initially what action should be taken. This may involve an internal inquiry or a more formal investigation. We will tell you who is handling the matter, how you can contact them and whether your further assistance may be needed. If you request it, we will write to you summarising your concern and setting out how we propose to handle it.
- 3.2 When you raise your concern you may be asked how you think the matter might best be resolved. If you do have any personal interest in the matter, we ask that you tell us at the outset. If your concern falls more properly within another policy we will tell you.
- 3.3 While the purpose of this policy is to enable us to investigate possible malpractice and take appropriate steps to deal with it, we will give you as much feedback as we properly can. If requested, we will confirm our response to you in writing. Please note, however, that we may not be able to tell you the precise action we take where this would infringe a duty of confidence owed by us to someone else.

## **4. HOW TO RAISE A CONCERN**

- 4.1 Concerns may be raised orally or in writing. Whether a written or oral report is made it is important that relevant information is provided covering:-

- your name and a contact point. As referred to above it will be more difficult for the Council to pursue issues if concerns have been expressed anonymously.
- the background and history of the concern (giving relevant dates and names and positions of those who may have contributed to your concern.
- the reason why you are particularly concerned about the situation.

4.2 You may invite your trade union, professional association representative or a friend to be present during any meetings or interviews in connection with the concerns you have raised.

## 5. HOW TO REPORT A CONCERN INTERNALLY

### 5.1 Step One

If you have a concern about malpractice, we hope you will feel able to raise it first with your line manager or, if not, with your Director or Assistant Director. For school based staff your head of department, headteacher *or Chair of Governors*] would be your normal first port of call although the Director of Children's Services or his Assistant Directors would be alternative contacts for you.

5.2 The person receiving your disclosure will consider the nature of your concerns and decide on the most appropriate course of action.

### 5.3 Step Two,

If you feel unable to raise the matter with your line manager or Director, for whatever reason, or if you remain concerned having done so, please raise the matter with the Head of Internal Audit, Max Thomas. As Internal Audit operates at arms length from the Council as part of a separate company, Veritau, you can be assured that Max will act independently.

### 5.4 Step Three

If the above channels have been followed, and either you or your line manager/Director still have concerns, or if you or your line

manager/Director feel that the matter is so serious that you cannot discuss it with any of the above, please contact either the Director of Customer of Business Support Services, Ian Floyd or the Monitoring Officer, Andy Docherty. A complaint which reaches this level will normally be reported to the Officer Governance Group who have the responsibility to ensure good governance in the Council and report directly to the Council's Audit and Governance Committee.

## **6. HOW TO REPORT A CONCERN EXTERNALLY**

- 6.1 While we hope this policy gives you the reassurance you need to raise matters internally, we would rather you raised a matter with the appropriate regulator than not at all. Provided you are acting in good faith and you have evidence to back up your concern, you can also contact:

Audit Commission for England and Wales  
Tel 020 7828 1212  
[www.audit.commission.gov.uk](http://www.audit.commission.gov.uk)

Public interest disclosure line 0845 0522 646

Commission for Social Care Inspection  
Tel 0845 015 0120  
[www.csci.org.uk](http://www.csci.org.uk)

Health and Safety Executive  
Tel 08701 545500  
[www.hse.gov.uk](http://www.hse.gov.uk)

Public Concern at Work  
Tel 020 7404 6609  
[www.pcaw.co.uk](http://www.pcaw.co.uk)

Ofsted  
Tel: 0300 123 3155  
E-mail: <mailto:whistleblowing@ofsted.gov.uk>  
[www.ofsted.gov.uk](http://www.ofsted.gov.uk)

## **7. INDEPENDENT ADVICE**

- 7.1 If you are unsure whether to use this policy or you want independent advice at any stage, you may contact:
- if applicable, your union; or
  - the independent charity Public Concern at Work on 020 7404 6609. Their lawyers can give you free confidential advice at any stage about how to raise a concern about serious malpractice at work.

## **8. SCOPE OF POLICY**

- 8.1 The Policy applies to all employees of the Council and other people working for the Council such as agency staff and consultants. Elected Members and School Governors may also raise concerns through this policy.
- 8.2 It is possible that contractors who work for the Council may come across matters which cause them concern and which relate to the actions of the Council or its employees. Contractors are invited to follow the procedures set out in this policy and are assured that they will not suffer any form of retribution for having raised a genuine concern, even if it proves to be unfounded. It may be that an employee of a contractor has concerns relating to its employer's actions while engaged on Council business. The Council's standard contracts require contractors to have adequate whistleblowing arrangements in place or to permit its employees to use the Council's arrangements. Employees of contractors therefore have equivalent protection to that afforded Council employees.
- 8.3 These procedures are in addition to the Council's Complaints Procedures and other specifically laid down statutory reporting procedures applying to some services. If the concern relates to an elected Member, this may involve a potential breach of the Members' Code of Conduct which may result in a referral to the Council's Standards Committee and this in turn could lead to either internal or external investigation.
- 8.4 This policy has been discussed with staff representatives and has their support.

## **9. THE RESPONSIBLE OFFICER**

9.1 The Council's Monitoring Officer has overall responsibility for the maintenance and operation of this policy. That officer maintains a record of concerns raised and the outcomes and will report as necessary to the Audit and Governance Committee and the Council. The recording and reporting procedure will involve liaison with the officers specified in Section 5 above and will be in a form which ensures your confidentiality, subject to the discretion of the Council to waive confidentiality as stated in section 2.2 above.

## **10. IF YOU ARE DISSATISFIED**

10.1 This policy is intended to provide you with an avenue within the Council to raise concerns. While we cannot guarantee that we will respond to all matters in the way that you might wish, we will try to handle the matter fairly and properly. By using this policy you will help us to achieve this. The Council hopes you will be satisfied with any action taken. If you are not, and if you feel it is right to take the matter outside the Council, the following are possible contact points:-

- your local Citizens Advice Bureau
- relevant professional bodies or regulatory organisations
- the Ombudsman