



Preston
City Council

Whistleblowing Policy

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1. INTRODUCTION

- 1.1 The City Council is committed to the highest possible standards of openness probity and accountability. In line with that commitment the Council expects employees and others who it deals with who have concerns about any aspect of the City Council's work to come forward and voice these concerns. It is recognised that most cases will have to proceed on a confidential basis.
- 1.2 This Policy makes it clear that you can report concerns without fear of victimisation, subsequent discrimination or disadvantage. The Policy has been written with regard to the Public Interest Disclosure Act 1998 and follows the Department for Business, Energy and Industrial Strategy – Whistleblowing Guidance for Employers and Code of Practice (March 2015) and is intended to encourage and enable employees to raise concerns rather than overlooking them.
- 1.3 This policy applies to all employees (including those designated as casual, temporary, authorised volunteers or individuals gaining work experience), elected Members and those contractually working for the Council on its premises. It also covers suppliers and those providing services under a partnership arrangement with the Council. Members of the public are also encouraged to report their concerns via this Policy.
- 1.4 The Council expects all organisations that deal with it and who have serious concerns about any aspect of the Council's work to also come forward and voice their concerns via this policy.

2. AIMS AND SCOPE

- 2.1 Employees are often the first to realise that there may be something seriously wrong within the Council. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or the Council. In these circumstances it may be easier to ignore the concern rather than report what may just be a suspicion of malpractice.
- 2.2 This Policy aims to:
 - Encourage employees to feel confident in raising serious concerns and to question and act upon their concerns;
 - Provide guidance on how to raise those concerns and be given feedback on any action taken.

- Reassure employees that if they raise concerns and reasonably believe them to be in the public interest, they will be protected;
- To advise and remind employees that the detrimental treatment of colleagues who blow the whistle may be considered a disciplinary matter.

2.3 There are other procedures in place to enable employees to raise a grievance relating to their own employment. The Whistleblowing Policy is intended to cover major concerns that fall outside the scope of other procedures. These can include:

- Conduct which is an offence or a breach of law;
- Failure to comply with a legal obligation;
- Disclosures related to miscarriages of justice;
- Racial, sexual, disability or other discrimination against another employee or service user;
- Health and safety risks, including risks to the public as well as other employees;
- Damage to the environment;
- The unauthorised use of public funds;
- Possible fraud, bribery or corruption including but not limited to theft of property, financial irregularities, misuse of Council property and systems, conflicts of interest or supplier rewards;
- Sexual or physical abuse of another employee or service user
- Failure to observe the Council's Constitution (including the Council's Contractual and Financial Procedure Rules);
- Employment of an officer without relevant qualifications or other conduct which gives you cause for concern.

2.4 Any serious concerns that you have about any aspect of service provision or the conduct of staff or Members of the City Council or others acting on behalf of the City Council can be reported under this Policy. This may be about something that:

- Makes you feel uncomfortable in terms of known standards, your experience or the standards you believe the City Council subscribes to; or
- Is against the City Council's Procedural Rules and Policies; or
- Falls below established standards of practice; or
- Amounts to improper conduct.

3. SAFEGUARDS

3.1 The Council is committed to good practice and high standards of conduct and wants to be supportive of all its employees.

- 3.2 The Council recognises that the decision to report a concern can be a difficult one to make. If you reasonably believe that what you are saying is true and that raising your concern is in the public interest, you should have nothing to fear because you will be doing your duty to your employer and those to whom you are providing a service.
- 3.3 The Council will not tolerate any harassment or victimisation (including informal pressures) of an employee who raises a genuine concern which is in the public interest and will take appropriate action to protect you when you raise a concern under this procedure. Any member of staff who harasses or victimises a Whistleblower may not only be personally liable but may be subject to disciplinary action.
- 3.4 Any investigation into allegations of potential malpractice will not influence or be influenced by any disciplinary or redundancy procedures that already affect you as an employee.
- 3.5 The Public Interest Disclosure Act 1998 (hereinafter referred to as ‘the Act’) (and as amended by the Enterprise and Regulatory Reform Act 2013) protects employees against detrimental treatment or dismissal as a result of any disclosure of normally confidential information in the interests of the public. The Act only covers protected disclosures under six categories, namely; crime, illegality, miscarriage of justice, damage to health and safety, damage to the environment, and ‘cover-ups’ about these issues.

4. CONFIDENTIALITY

- 4.1 It is essential for all concerned that disclosures of wrongdoing or irregularity are dealt with properly, quickly and discreetly. This is in the interests of the Council, its employees, any persons who are the subject of such allegations, as well as the person making the disclosure.
- 4.2 All concerns will be treated in confidence and every effort will be made not to reveal your identity if you do not want your name to be disclosed. It must be appreciated, however, that the investigation process may reveal the source of the information and you may need to come forward as a witness and provide a statement as part of the evidence.
- 4.3 It may be possible to establish the truth about allegations from another independent source and the Council will seek to do this wherever possible.

5. ANONYMOUS ALLEGATIONS

- 5.1 This policy encourages you to put your name to your allegation whenever possible. Where an individual chooses to report their concerns anonymously, such anonymity will be respected. However, the Council’s ability to investigate anonymous complaints can be

hampered by not being able to further explore issues or obtain evidence during the investigative process. Furthermore, if the identity of the person who has provided the information is not known, it becomes extremely difficult to either reassure or protect you. Concerns expressed anonymously are much less powerful and will only be considered at the discretion of the Council.

5.2 In exercising this discretion the factors taken into account include:

- the seriousness of the issues raised;
- the credibility of the concern; and
- the likelihood that the allegation can be confirmed from other attributable sources.

5.3 If the allegation suggests criminal activity and the case warrants police assistance, the identity of the person reporting the details may be important at a later date if criminal proceedings are to be pursued. Identification is therefore preferred and will assist with the investigation.

6. MALICIOUS, VEXATIOUS OR UNTRUE ALLEGATIONS

6.1 If you make an allegation which you believe is in the public interest, but it is not confirmed by the investigation, no action will be taken against you. If, however, you make an allegation frivolously, maliciously or for personal gain disciplinary action may be taken against you if you are a Council employee. If you are an elected Member, you may be in breach of the Code of Conduct for Members. If you are a contractor or partner, such allegations may put you in breach of your contractual responsibilities to the Council.

6.2 Malicious or vexatious allegations include those which are trivial and do not have any substance and are made persistently and for the wrong reasons, for example simply to make trouble.

7. HOW TO RAISE A CONCERN

Procedure for City Council Employees

7.1 As a first step, you should raise concerns with your immediate manager or their manager, either orally or in writing. This depends on the seriousness and sensitivity of the issues involved and who is suspected of the malpractice. For example, if you believe that your immediate manager or their managers are involved, you should approach your Director. If it concerns a Director, you should refer it to another Director or Chief Executive. The officer receiving notification of concerns under this Policy will inform the Director of Resources and their own Director that a confidential report has been received and its contents. A central log of all concerns will be kept by the Director of Resources. If the concern relates to financial irregularities

or failures of financial controls the receiving officer of the report must immediately notify the Head of Internal Audit & Risk. Contact details are included at Section 119 of the Policy.

- 7.2 Concerns are usually better in writing. If you do not feel able to put your concern in writing, you can telephone or meet the appropriate officer.
- 7.3 In raising a concern you should be prepared to provide the following information:
- the background and history of the concern (giving relevant dates);
 - the reason why you are particularly concerned about the situation; and
 - the name(s) of any colleagues/ employees who you consider are either directly involved or can help provide further information.
- 7.4 The earlier you express the concern the easier it is to take action. Although you are not expected to prove beyond doubt the truth of an allegation, you will need to demonstrate to the person contacted that there are reasonable grounds for concern.
- 7.5 You may wish to consider discussing your concern with a colleague first and you may find it easier to raise the matter if there are two (or more) of you who have had the same experience or concerns.
- 7.6 If you ultimately feel that you have to take the matter outside of the Council, possible contacts are included at Section 119 of this Policy.

Procedure for Members

- 7.7 Elected Members who have a genuine concern about malpractice should raise any concern with the Monitoring Officer. If a member is approached by a member of the public wishing to raise a concern, they can either signpost them to the Whistleblowing Policy or report the matter to either the Monitoring Officer or the Head of Internal Audit & Risk.

Procedure for Contractors

- 7.8 As a first step, you should normally raise concerns with your contract manager, who will then inform the lead Council Officer who is dealing with the particular contract. This depends on the seriousness and sensitivity of the issues involved and who is suspected of the malpractice. For example, if you believe that your manager or the lead Council Officer is involved, you should directly approach the appropriate Director at the City Council. Otherwise, the lead Council Officer receiving notification of concerns under this Policy will inform the Director of Resources and their own Director that a confidential report has been received and provide a copy. If the concern relates to financial irregularities or failures of financial controls, the lead

Council Officer receiving the report will also immediately notify the Head of Internal Audit & Risk.

Procedure for Members of the Public.

- 7.9 The Council encourages those external to the Council who suspect fraud and/or corruption to contact the Head of Internal Audit & Risk on the contact details contained at Section 110 of this Policy.

8 HOW THE COUNCIL WILL RESPOND

- 8.1 The receiving officer will acknowledge receipt of your concerns within **10 working days** of a concern being raised and you will be sent a written response:

- Acknowledging that the concern has been received;
- Indicating how the Council proposes to deal with this matter and setting out clearly the roles of all the officers involved;
- Giving an estimate of how long it may take to investigate the matter;
- Telling you whether any enquiries will need to be made;
- Supply you with information on staff support mechanisms.

- 8.2 Where appropriate, matters raised may:

- Be investigated by management, Internal Audit, Corporate Fraud or through the disciplinary process;
- Be referred to the Police or other statutory agencies;
- Be referred to the External Auditor.

- 8.3 In order to protect individuals and those against whom concerns are raised, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. Concerns or allegations which fall within the scope of specific procedures (for example, safeguarding or discrimination issues) will normally be referred for consideration under those procedures.

- 8.4 Some concerns may be resolved by agreed action without the need for investigation. If urgent action is required this will be taken before any investigation is concluded.

- 8.5 The amount of contact between the investigating officer and you will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, the investigating officer may seek further information from you.

- 8.6 Where a meeting is arranged, (and this can be off-site if you so wish), you can be accompanied by a trade union, a professional association representative or a friend.
- 8.7 The Council will take steps to minimise any difficulties which you may experience as a result of raising a concern. For instance, if you are required to give evidence in criminal or disciplinary proceedings the Council will arrange for you to receive advice about the procedure.
- 8.8 The Council accepts that you need to be assured that the matter has been properly addressed. Thus, subject to any legal constraints, or practical constraints such as the complaint being made anonymously the Council will inform you of the outcome of any investigation.

9. THE INVESTIGATION

- 9.1 Internally, where appropriate, an officer will undertake an investigation of the complaint and the outcome of the investigation will be reported to the receiving officer. As part of the investigation, a record of all interviews shall be kept and statements signed by those spoken to as part of the investigation. The role of the investigating officer is to make a judgement and form a view of the complaint based on the investigation undertaken. The investigating officer will be required to prepare a report on their investigation and provide a set of clear conclusions and next steps, if appropriate.
- 9.2 The investigating officer will be required to present their report to the receiving officer for action / consideration as is required. If the Director is actually or potentially implicated by the investigation, then the report should be presented to the Chief Executive.
- 9.3 If, an initial investigation gives rise to potential disciplinary matters, the investigation will continue in accordance with the Council's Disciplinary Policy and Procedure.

10. THE RESPONSIBLE OFFICER

- 10.1 The Director of Resources has overall responsibility for the maintenance and operation of this policy. That officer maintains a record of concerns raised and the outcome (but in a form which does not endanger your confidentiality) and will report as necessary to the Audit Committee.

11. CONTACT DETAILS AND HOW TO TAKE IT FURTHER

- 11.1 Advice and guidance on how matters of concern may be pursued can be obtained from the Chief Executive, Director of Resources, the

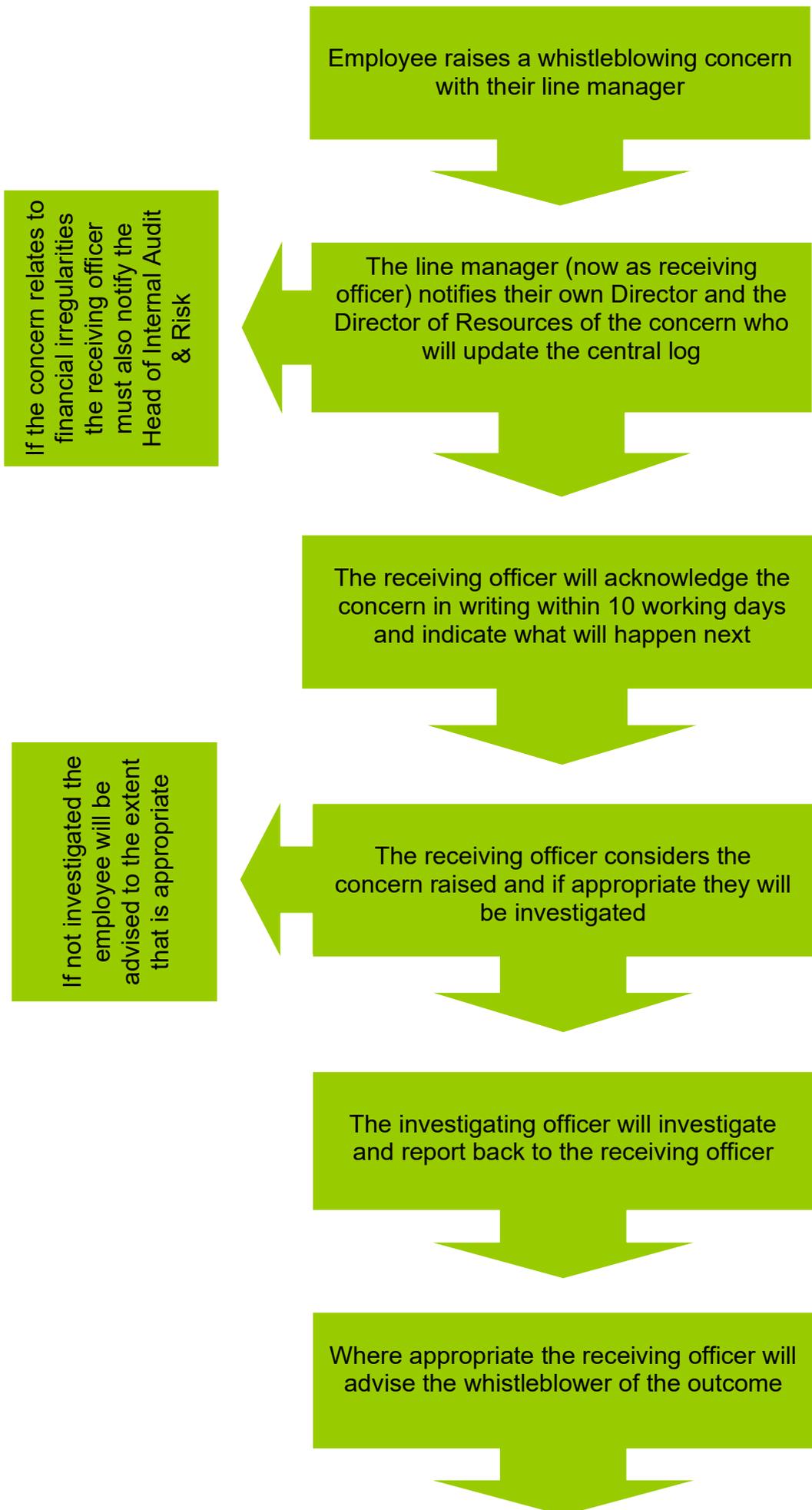
Head of Internal Audit & Risk or the Assistant Director (Head of Workforce).

- 11.2 Alternatively, external advice can be sought from a Trade Union or Protect - a charity that provides confidential advice to anyone who believes there is serious wrongdoing in the workplace.
- 11.3 Independent advice and assistance can also be sought from the Council's External Auditors, Grant Thornton. or the Local Government & Social Care Ombudsman.
- 11.4 This policy is intended to provide you with an avenue within the Council to raise concerns and contact details are provided below. 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 of the Council, further additional contacts are detailed below:

Preston City Council Contact Details	
Chief Executive	Email – a.phillips@preston.gov.uk
Director of Resources	Tel – 01772 906994 Email – j.wilding@preston.gov.uk
Monitoring Officer	Tel – 01772 906373 Email – c.parmenter@preston.gov.uk
Assistant Director (Head of Workforce)	Tel – 01772 906371 Email – K.OFlaherty@preston.gov.uk
Head of Internal Audit & Risk	Tel 01772 906012 Email – k.gregory@preston.gov.uk
Corporate Fraud Manager	Tel 01772 906388 Email – h.garstang@preston.gov.uk
External Organisations Contact Details	
External Auditor – Grant Thornton (UK) LLP	Landmark, St Peter's Square, 1 Oxford Street, Manchester M1 4PB Tel: 0161 953 6900
Protect	The Green House 244-254 Cambridge Heath Road London E2 9DA Tel 020 3117 2520 Email whistle@protect-advice.org.uk www.protect-advice.org.uk

The Local Government & Social Care Ombudsman,	Tel: 0300 061 0614 www.lgo.org.uk/
Lancashire Police	Lancashire Constabulary Headquarters Saunders Lane Hutton, nr Preston PR4 5SB Tel: 101 www.lancashire.police.uk
Action Fraud	Tel: 0300 123 2040 www.actionfraud.police.uk
The Information Commissioner	The Office of the Information Commissioner Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF Tel: 0303 123 1113 www.ico.org.uk
The Environment Agency	National Customer Contact Centre PO Box 544 Rotherham S60 1BY Tel: 03708 506 506 Email: enquiries@environment-agency.gov.uk www.gov.uk/government/organisations/environment-agency
Health and Safety Executive	Health and Safety Executive Redgrave Court Merton Road Bootle Merseyside L20 7HS Tel: 0300 003 1747 www.hse.gov.uk/contact/index.htm
Office for Environmental Protection	Office for Environmental Protection Wildwood Wildwood Drive Worcester WR5 2QT Tel: 03300 416 581 www.theoep.org.uk

12 INDICATIVE FLOW CHART



This does not cover every eventuality it's just indicative