



**ST TERESA**  
*of* **CALCUTTA**  
Catholic Academy Trust

# Whistleblowing Policy

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## **Our Mission and Values**

### **Our Mission**

Our Trust Mission is simple, it is to make Christ known, making lives better for our communities, our children, and our young people.

### **Commitment to Equality**

We are committed to providing a positive working environment which is free from prejudice and unlawful discrimination and any form of harassment, bullying or victimisation.

We have developed a number of key policies to ensure that the principles of Catholic Social Teaching in relation to human dignity and dignity in work become embedded into every aspect of school life and these policies are reviewed regularly in this regard.

## Our Values



### Hope

Inspired by St Teresa of Calcutta, we are people of hope. We have a complete belief in the future we will build together. By offering our children, staff and schools' opportunities to grow and flourish, we make aspiration and ambition a reality. Our people, just like St Teresa are relentless and fiercely ambitious. We will always reach for that which seems to be just out of our grasp.



### Courage

As modelled for us by St Teresa of Calcutta, we will have the courage to do what is right. As a community, we will not shy away from making decisions that ensure our communities thrive. We will be brave in our actions. As a truly Catholic organisation this courage will be most apparent in how we collectively support the most vulnerable.



### Innovation

St Teresa of Calcutta changed the world. Together, we will always be pursuing new ideas and best practice in all areas of our work. We will prepare our children and young people for the world that awaits them. A world which they will shape and change.

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## **1.0 Policy Statement**

- 1.1 This policy outlines the Trusts approach to employee disclosures about wrongdoing in the workplace, known as “whistleblowing”, in accordance with the Public Interest Disclosure Act 1998.
- 1.2 The Trust is committed to providing a working environment to protect the health, safety and welfare of all its employees. The Trust is committed to the highest possible standards of openness, probity and accountability and will not tolerate malpractice or wrongdoing.
- 1.3 This policy seeks to protect individuals who make disclosures (the representor) with regard to any instance of malpractice or wrongdoing in the public interest.

## **2.0 Scope and Purpose**

- 2.1 This policy applies to all staff in the Trust and:
  - contractors working for the Trust or one of the schools on any of the Trust’s premises, for example, agency staff, builders, drivers.
  - suppliers and those providing services under a contract with the Trust or one of the schools in their own premises.
  - Directors, Governors, volunteers or others acting on behalf of the Trust.
- 2.2 This policy covers information disclosed in the public interest which is likely to fall outside the established Trust policies for handling complaints, grievances or otherwise raising a concern at work.
- 2.3 This policy is intended to:
  - enable and encourage the disclosure of information about malpractice internally;
  - reassure those making a disclosure (The representor) that concerns will be taken seriously without victimisation, discrimination or disadvantage; and
  - provide information about how to raise concerns and explain how the Trust will respond.
- 2.4 All whistleblowing complaints being made under the scope of this policy should be raised initially to [whistleblowing@stoccat.org.uk](mailto:whistleblowing@stoccat.org.uk) or by post to the Trust’s Central office as published on the Trust website.

## **3.0 What is whistleblowing?**

- 3.1 Whistleblowing, also known as confidential reporting or protected disclosure is the disclosure or communication of information about possible wrongdoing or malpractice.
- 3.2 Qualifying disclosures are disclosures of information where there is a reasonable belief (and it is in the public interest) that one or more of the following matters is either happening, has taken place, or is likely to happen in the future:
  - a criminal offence

- the breach of a legal obligation - including for example bribery, financial fraud or mismanagement, negligence, breach of Trust internal policies and procedures, conduct likely to damage the Trust's reputation (including the use of social media), unauthorised disclosure of confidential information, other unethical behaviour
- a miscarriage of justice
- a danger to the health and safety of any individual - including Child Protection and Safeguarding concerns
- damage to the environment
- deliberate attempt to conceal any of the above.

#### **4.0 Confidentiality**

4.1 If the representor so wishes, every possible effort will be made to protect their identity, whether they are an employee or not. It must be appreciated however, that the investigation process may reveal the source of the information, and a statement may be required as part of the evidence and/or an individual may be a possible witness in any future proceedings. If a situation arises where a concern cannot be resolved without revealing the representor's identity, this will be discussed with prior to proceeding.

4.2 Within the Trust, all employees have a duty of confidentiality. The duty of confidentiality is implied by the law in every contract of employment and prohibits employees from publicly disclosing employers' confidential information, unless it is in the public interest that the information is disclosed or unless the Trust fails to follow required procedures.

Other legal restrictions on the disclosure of information, for example under data protection legislation, may also apply.

#### **5.0 Anonymous Complaints**

5.1 Where the Strategic Leadership Group (SLG) receive anonymous complaints via one of the appropriate channels, an appropriate member of the SLG will decide whether to investigate based on:

- the seriousness of the issue raised
- the credibility of the concern
- the likelihood of confirming the allegation from other sources

5.2 The governance administrator will keep a central record of disclosures made under the Whistleblowing Policy.

5.3 The Trust's SLG will comply with data protection requirements in terms of any records made and kept.

#### **6.0 Untrue and Malicious Allegations**

6.1 If the representor makes a disclosure in good faith, but it is not confirmed by the investigation, no action will be taken against the representor. If however, the allegation is

frivolous, malicious, vexatious or for personal gain, this will be treated as a serious disciplinary offence and disciplinary action may be taken.

## **7.0 How to raise a concern**

- 7.1 Employees should in the first instance raise their concerns with their immediate line manager if possible. However, the most appropriate person to contact to report a concern will depend on the seriousness and sensitivity of the issues involved and who is suspected of the malpractice.
- 7.2 Where the individual believes that their manager is involved in the matter of concern, they should then initially contact the Trust SLG via an appropriate channel if the concern raised is related to the Headteacher.
- 7.3 Concerns should normally be raised within the Trust in the first instance. In the event that the representor believes the board of directors are also implicated, the representor should seek advice from their Trade Union, or the charity Protect.
- 7.4 Wherever possible, concerns should be expressed in writing, setting out the background and history of the concern, giving names, dates and places where possible, and the cause of the concern.
- 7.5 If the representor does not feel able to put the concern in writing initially, concerns may be raised verbally but the person who hears the concern (the representee) should make a written report to document the concern as soon as possible.
- 7.6 The representor needs to demonstrate to the representee contacted that there are sufficient grounds for concern to ensure the matter should be taken forward. The representor may invite their trade union representative to be present during any meetings in connection with the concerns raised.
- 7.7 The aim of this policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the workplace. In most cases the representor should not find it necessary to alert anyone externally.
- 7.8 The law recognises that in some circumstances it may be appropriate for the representor to report their concerns to an external body such as a regulator. It will very rarely, if ever, be appropriate to alert the media. The Trust SLG and the Trust Board strongly encourages the representor to seek advice before reporting a concern to anyone external.

Protect holds a list of prescribed regulators for reporting certain types of concern.

- 7.9 Whistleblowing concerns usually relate to the conduct of Trust members of staff, but they may sometimes relate to the actions of a third party, such as a contractor, supplier or service provider. The law allows a potential representor to raise a concern with a third party, where the representor reasonably believe it relates mainly to an individual's actions or something that is legally their responsibility. However, the Trust SLG encourage the representor to report such concerns internally first.

## **8.0 How the Trust will respond**

### 8.1 Initial Assessment of Appropriate Action

8.1.1 Once the representor has raised a concern, The Trust SLG will appoint an informal investigator to carry out an initial assessment to determine the scope of any investigation. The Trust SLG will inform the representor of the outcome of the informal investigator's assessment. The representor may be required to attend additional meetings in order to provide further information.

8.1.2 Allegations will be handled confidentially and discreetly by all who are directly involved in the investigating process.

8.1.3 The investigator receiving the information will ensure that, in the most serious of concerns, either the CSEL or the Board of Directors receive adequate details of the representor using this policy, for the purpose of corporate recording and monitoring.

8.1.4 Once the representor has informed the SLG, the SLG will make initial enquiries on a confidential basis where possible. If urgent action is required, this will be taken before any investigation is conducted.

8.1.5 If the representor's concern falls within another policy of the Trust (for example the Grievance Policy) or within specific procedures (for example Child Protection) the representor normally be referred to the relevant Policy or procedures. Some concerns may be resolved by agreed action without the need for investigation.

8.1.6 If it is determined that the matter should be dealt with formally, advice will be sought from a member of the Trust's HR team (Usually the Head of HR or a HR Business Partner) and an appropriate investigation manager identified. Investigation procedures into allegations of malpractice must be independent, skilled and objective. The Investigating Officer appointed must therefore not have had any previous involvement with the case and will be sensitive to the wishes of the representor wherever possible.

8.1.7 Depending upon the circumstances, external agencies may also be involved in the investigation.

8.1.8 After initial enquiries to assess the seriousness of the matter, the matters raised may:

- be investigated by management, internal audit, or through the disciplinary process.
- be referred to the police.
- be referred to the external auditor.
- form the subject of an independent enquiry.

### 8.2 Investigation Process

8.2.1 During the investigation every effort will be made to protect the legitimate rights of all parties involved. In particular, the following principles shall be adhered to:

- Strict confidentiality must be maintained at all times. Any breach of confidentiality may lead to consideration of disciplinary action

- Throughout the investigation process, the representor, the alleged perpetrator and any others interviewed are entitled to be accompanied by either a companion or professional association/trade union representative.

8.2.2 The representor will be informed of who will be handling the inquiry, how to make contact and whether further meetings may or will be required.

Within ten working days of a concern being raised, the Investigator looking into the concern will write to the representor:

- Acknowledging that the concern has been received.
- Indicating how the Trust Board proposes to deal with the matter.
- Giving an estimate of how long it will take to provide a final response.
- Telling the Representor whether any initial enquiries have been made.
- Telling the Representor whether further investigations will take place and if not, why not.
- Supplying the representor with information on support available to you.

8.2.3 The amount of contact between the Investigator and the representor will depend on the nature of the matters raised, the potential difficulties involved, and the clarity of the information provided. If necessary, the Trust SLG will seek further information from the representor.

8.2.4 The Governance Administrator will keep the representor informed of what is happening as far as is practical.

8.2.5 If any meeting is arranged, the representor can be accompanied by a trade union or professional association representative or a friend, and the representor has the right to request that this be away from their place of work.

8.2.6 The Trust will take steps to minimise any difficulties which the representor may experience as a result of raising a concern. For instance, if the representor is required to give evidence in criminal or disciplinary proceedings, the Trust will arrange advice about the procedure. This might include other forms of support.

8.2.7 Witnesses may be interviewed as part of the investigation and asked to provide a written statement. Where witnesses have been identified by the representor and particularly where witnesses are interviewed, it is essential that the witnesses do not suffer any personal detriment as a result, providing that they have acted in good faith.

### **8.3 Outcome**

8.3.1 The Trust accepts that the representor needs to be reassured that the matter has been properly addressed. Thus, subject to legal constraints, The Trust SLG will inform you of the outcome of any investigation.

8.3.2 The investigation will conclude with a report by the Investigating Officer to the SLG, Chair of the Board or other relevant person. This will summarise the Investigating Officer's findings on the allegations and recommend further action which could include:

- a finding that the allegation was unfounded and therefore no action needs to be taken; a recommendation to take no further action on the complaint. This will be appropriate if the

Investigating Officer decides that there is a lack of evidence relating to the complaint or that the complaint is untrue;

- a recommendation to take action in order to deal with the matter on the basis that it is not sufficiently serious to warrant formal disciplinary action. Such action could include:
- written management advice; and/or
- an instruction to a member of staff to undertake appropriate guidance and/or training; and/or
- appropriate changes in working arrangements which must not be to the disadvantage of the representor.
- a recommendation to initiate formal disciplinary action because there is objective evidence
- to support the allegation that malpractice has taken place.

8.3.3 The Headteacher/relevant person will write to the representor and the alleged perpetrator (where appropriate) detailing the findings of the investigation and the action to be taken. This letter will contain an undertaking that the Representor and any witnesses will not be victimised or suffer any detriment as a result of having made the complaint.

8.3.4 Where the Trust SLG determines to take no action irrespective of the recommendation made, he/she shall give written reasons for this determination to the representor (and the alleged perpetrator where appropriate). Failure to give such information will be regarded as a breach of this procedure.

8.3.5 Where the Investigating Officer considers that a complaint is untrue and malicious the Investigator may recommend a second investigation of the circumstances. This may lead to consideration of disciplinary action against the complainant. Suspension may be considered necessary but should be seen as a neutral act which does not of itself imply that any pre-emptive judgement has been reached.

#### **8.4 Record Keeping**

8.4.1 The governance should maintain a confidential central record for a period of five years (seven years for allegations of financial irregularities) and responses provided.

8.4.2 In respect of anonymous allegations, should a member of the Trust SLG consider that further action would be inappropriate details of the allegation and reason for the decision must still be recorded in Trust records by the governance administrator. These central records will be used to analyse the impact and effectiveness of the arrangements put in place as part of the process of reporting back to members on the effectiveness and outcomes of the Policy and as a record of actions taken in the case of any matters raised under the Public Interest Disclosure Act.

#### **9.0 Further action**

9.1 This policy is intended to provide potential representors with a way to raise concerns within the Trust. The Trust hopes potential representors will be satisfied with any action taken.

9.2 If representors feel it is right to question the matter further, in the first instance representors should address concerns to the Trust SLG or the Board of Directors. If this response is not satisfactory representors may wish to take the matter outside the Trust.

9.3 The following are possible contact points:

- Trade unions or professional associations
- A local Citizens Advice Bureau
- Regulatory bodies
- A relevant voluntary organisation
- The police
- A solicitor or legal adviser
- The Local Government Ombudsman
- The Health and Safety Executive
- Protect (Independent whistleblowing charity)
- Helpline: 020 3117 2520
- E-mail: [whistle@protect-advice.org.uk](mailto:whistle@protect-advice.org.uk) Website: [www.protect-advice.org.uk](http://www.protect-advice.org.uk)
- NSPCC (Whistleblowing Helpline)
- Helpline: 0800 028 0285
- E-mail: [help@nspcc.org.uk](mailto:help@nspcc.org.uk)
- Ofsted (Whistleblowing helpline) Helpline: 0300 123 3155
- Email: [whistleblowing@ofsted.gov.uk](mailto:whistleblowing@ofsted.gov.uk)
- Information Commissioner Helpline: 0303 123 1113
- The external auditor, contact via the Trust Finance Director
- National Audit Office - telephone: 020 7798 7999
- Environment Agency - telephone: 03708 506 506
- Health and Safety Executive - telephone: 0300 003 1647