

## **WHISTLEBLOWING POLICY**

### **INTRODUCTION**

1. This policy applies to all employees of Sapientia Education Trust (referred to as 'The Trust' throughout this policy). Other individuals performing functions in relation to The Trust, such as agency workers and contractors, are encouraged to use it.

2. It is important to The Trust that any fraud, misconduct or wrongdoing by employees of The Trust is reported and properly dealt with. The Trust therefore encourages all individuals to raise any concerns that they may have about the conduct of others in The Trust or the way in which The Trust is run. This policy sets out the way in which individuals may raise any concerns that they have and how those concerns will be dealt with.

### **BACKGROUND**

3. The law provides protection for workers who raise legitimate concerns about specified matters. These are called "qualifying disclosures". A qualifying disclosure is one made in the public interest by a worker who has a reasonable belief that:

- a criminal offence;
- a miscarriage of justice;
- an act creating risk to health and safety;
- an act causing damage to the environment;
- a breach of any other legal obligation; or
- concealment of any of the above;

is being, has been, or is likely to be, committed. It is not necessary for the worker to have proof that such an act is being, has been, or is likely to be, committed - a reasonable belief is sufficient. The worker must not investigate the matter - it is The Trust's responsibility to ensure that an investigation takes place.

4. A worker who makes such a protected disclosure has the right not to be dismissed, subjected to any other detriment, or victimised, because he/she has made a disclosure.

5. The Trust encourages workers to raise their concerns under this procedure in the first instance. If a worker is not sure whether or not to raise a concern, he/she should discuss the issue with his/her line manager or the HR Manager.

### **PRINCIPLES**

6. Everyone should be aware of the importance of preventing and eliminating wrongdoing at work. Workers should be watchful for illegal or unethical conduct and report anything of that nature that they become aware of.

7. Any matter raised under this procedure will be investigated thoroughly, promptly and confidentially, and the outcome of the investigation reported back to the worker who raised the issue.

8. No worker will be victimised for raising a matter under this procedure. This means that the continued employment and opportunities for future promotion or training of the worker will not be prejudiced because he/she has raised a legitimate concern.

9. Victimisation of a worker for raising a qualified disclosure will be a disciplinary offence.

10. If misconduct is discovered as a result of any investigation under this procedure The Trust's disciplinary procedure will be used, in addition to any appropriate external measures.
11. Maliciously making a false allegation is a disciplinary offence.
12. An instruction to cover up wrongdoing is itself a disciplinary offence. If told not to raise or pursue any concern, even by a person in authority, workers should not agree to remain silent. They should report the matter to the Principal/Headteacher.
13. This procedure is for disclosures about matters other than a breach of an employee's own contract of employment. If an employee is concerned that his/her own contract has been, or is likely to be, broken, he/she should use The Trust's grievance procedure.

## PROCEDURE

14. Stage 1. In the first instance, and unless the worker reasonably believes his/her line manager to be involved in the wrongdoing, or if for any other reason the worker does not wish to approach his/her line manager, any concerns should be raised with the worker's line manager. If he/she believes the line manager to be involved, or for any reason does not wish to approach the line manager, then the worker should proceed straight to stage 3.

15. Stage 2. The line manager will arrange an investigation into the matter (either by investigating the matter him/herself or immediately passing the issue to the HR Manager). The investigation may involve the worker and other individuals involved giving a written statement. Any investigation will be carried out in accordance with the principles set out above. The worker's statement will be taken into account, and he/she will be asked to comment on any additional evidence obtained. The line manager (or the person who carried out the investigation) will then report to the Principal/Headteacher, who will take any necessary action, including reporting the matter to the SET Board and/or any appropriate government department or regulatory agency. If disciplinary action is required, the line manager (or the person who carried out the investigation) will report the matter to the HR Manager. On conclusion of any investigation, the worker will be told the outcome of the investigation and what The Trust has done, or proposes to do, about it. If no action is to be taken, the reason for this will be explained.

16. Stage 3. If the worker is concerned that his/her line manager is involved in the wrongdoing, has failed to make a proper investigation or has failed to report the outcome of the investigations to the board, he/she should inform the Principal/Headteacher, who will arrange for another Vice-Principal/Deputy Headteacher to review the investigation carried out, make any necessary enquiries and make his/her own report to the Principal/Headteacher as in stage 2 above. If for any other reason the worker does not wish to approach his/her line manager he/she should also in the first instance contact the Principal/Headteacher. Any approach to the Principal/Headteacher will be treated with the strictest confidence and the worker's identity will not be disclosed without his/her prior consent. Where the concern is about the actions of the Principal/Headteacher, the worker should report this to the Chair of the Trustees through the Deputy CEO of the Trust.

17. Stage 4. If on conclusion of stages 1, 2 and 3 the worker reasonably believes that the appropriate action has not been taken, he/she should report the matter to the proper authority. The legislation sets out a number of bodies to which qualifying disclosures may be made. These include:

- HM Revenue & Customs;
- the Financial Conduct Authority (formerly the Financial Services Authority);
- the Competition and Markets Authority;
- the Health and Safety Executive;
- the Environment Agency;
- the Independent Police Complaints Commission; and
- the Serious Fraud Office.