



Buckden Parish Council

Whistleblowing Policy and Procedure

Introduction

- 1.1 The Council is committed to the highest possible standards of openness, probity and accountability. In line with that commitment we encourage employees and members (Councillors) and others with serious concerns about any aspect of the Council's work to come forward and voice those concerns. It is recognised that certain cases will have to proceed on a confidential basis. This policy document makes it clear that employees and members can act without fear of reprisals. This policy is intended to encourage and enable Councillors and employees to raise serious concerns **within** the Council rather than overlooking a problem or raising their concerns outside without at least attempting to raise the matter internally.
- 1.2 Employees and members are likely to be 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 to fellow Councillors. They may also fear harassment or victimisation. In these circumstances, it may be easier to ignore the concern rather than report what may just be a suspicion of malpractice.

2. Aims and Scope of this Policy and Procedure

2.1 This policy aims to:

- 2.1.1 provide avenues for you to raise concerns and feedback on any action taken;
- 2.1.2 allow you to take the matter further if you are dissatisfied with the Council's response;
- 2.1.3 reassure you that you will be protected from reprisals or victimisation for whistle blowing in good faith.

2.2 For employees there are existing procedures in place to enable you to lodge a grievance relating to your employment. This whistle blowing policy is intended to cover concerns that fall outside the scope of other procedures. That concern may be about something that:

- 2.2.1 is unlawful; or
- 2.2.2 is against the Council's Standing Orders, Financial Regulations or policies; or
- 2.2.3 falls below established standards or practice; or

- 2.2.4 someone's health and safety has been endangered; or
- 2.2.5 the environment has been damaged; or
- 2.2.6 amounts to improper conduct.

3. Safeguards

3.1 Harassment or Victimisation

The Council recognises that the decision to report a concern can be a difficult one to make, not least because of the fear of reprisal from those responsible for the malpractice. The Council will not tolerate harassment or victimisation and will take action to protect you when you raise a concern in good faith. This does not mean that if you are already the subject of disciplinary or redundancy procedures, that those procedures will be halted as a result of your whistle blowing.

3.2 Confidentiality

The Council will do its best to protect your identity when you raise a concern and do not want your name to be disclosed. It must be appreciated that the investigation process may reveal the source of the information and a statement by you may be required as part of the evidence.

3.3 Anonymous Allegations

This policy encourages you to put your name to your allegation. Concerns expressed anonymously are much less powerful, but they will be considered at the discretion of Council. This discretion will be exercised through the Chair and Vice Chair unless this is not appropriate in which case two non-involved members will be nominated. In exercising the discretion, the factors to be taken into account would include:

- 3.3.1 the seriousness of the issues raised;
- 3.3.2 the credibility of the concern; and
- 3.3.3 the likelihood of confirming the allegation from attributable sources.

3.6 Untrue Allegations

If you make an allegation in good faith, but it is not confirmed by the investigation, no action will be taken against you. If, however, you make allegations that are malicious disciplinary action may be taken against you.

4. How to Raise Concern

4.1 As a first step, you should normally raise the concerns with The Clerk or if this is not appropriate the Chair or Vice Chair of the Parish Council. This depends, however, on the seriousness and sensitivity of the issues involved and who is thought to be involved in the



malpractice. For example, if you believe that management including lead members are involved, you should approach the Internal Auditor.

4.2 Concerns are better raised in writing. You are invited to set out the background and history of the concern, giving names, dates and places where possible, and the reason why you are particularly concerned about the situation. If you do not feel able to put your concern in writing, you can telephone or meet the appropriate officer.

4.3 The earlier you express the concern, the easier it is for the Council to take action.

4.4 Although you are not expected to prove the truth of an allegation, you will need to demonstrate to the person contacted that there are sufficient grounds for your concern.

4.5 You may invite your trade union or professional association to raise a matter on your behalf.

5. How the Council will Respond

5.1 The action taken by Council will depend on the nature of the concern. The matters raised may:

- 5.1.1 be investigated internally;
- 5.1.2 be referred to the Police;
- 5.1.3 be referred to the external Auditor;
- 5.1.4 form the subject of an independent inquiry.

5.2 In order to protect individuals and Council, 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, will normally be referred for consideration under those procedures.

5.3 The initial enquiries to decide on a course of action will be undertaken by 3 members of the Compliance Advisory Group. No Councillor involved in any way with the issue raised will be involved. If the matter for concern involves the actions of the Compliance Advisory Group or any of its members, the initial inquiries shall be undertaken by 3 Councillors who are not members of the Compliance Advisory Group, appointed by the Chair or Vice Chair.

5.4 Some concerns may be resolved by agreed action without the need for investigation.

5.5 Within ten working days of a concern being received, the Council will write to you:

- 5.5.1 acknowledging that the concern has been received;
- 5.5.2 indicating how it proposes to deal with the matter;
- 5.5.3 giving an estimate of how long it will take to provide a final response;

5.5.4 telling you whether any initial enquiries have been made; and

5.5.5 telling you whether further investigations will take place, and if not, why not.

5.6 The amount of contact between the officers considering the issues and you will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, further information will be sought from you.

5.7 When any meeting is arranged, you have the right, if you so wish, to be accompanied by a Trade Union or professional association representative or a lawyer or a colleague who is not involved in the area of work to which the concern relates.

5.8 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 advise you about the procedure.

5.9 The Council accepts that you need to be assured that the matter has been properly addressed. Thus, subject to legal constraints, you will receive information about the outcomes of any investigations.

6. How the matter can be taken further

6.1 This policy is intended to provide you with an avenue to raise concerns. The Council hopes you will be satisfied. If you are not, you are always entitled to take the matter up with another member of the Council not involved in the original investigation. In addition, if you feel it is right to take the matter outside the Council, the following are possible contact points:

- 6.1.1 the external Auditor (see para 4.5);
- 6.1.2 relevant professional bodies or regulatory organisations;
- 6.1.3 your solicitor; or
- 6.1.4 the Police.

If you do take the matter outside the Council, you need to ensure that you do not disclose confidential information between you and the contact as that disclosure would not be privileged. Check with the contact point about that.

7. The Responsible Officer

The Clerk is the Responsible Officer and has overall responsibility for the maintenance and operation of this policy. Where there is concern about the actions of the Clerk the Chair of the Compliance Advisory Group will undertake the role of Responsible Officer. That responsible officer maintains a record of concerns raised and the outcomes (but in a form which does not endanger confidentiality) and will report as necessary to Council.

Whistleblowing

Version Control

Version	Date	Author	Reason for update
Version 1	11 Feb 2020	Clerk and Compliance AG	New adopted document