



LINCOLNSHIRE POLICE AUTHORITY

Confidential Reporting ('Whistleblowing') Policy

1. **Introduction**

- 1.1 Members of staff are often the first to realise that there may be something seriously wrong within the Police Authority ("the Authority"). However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to the Authority. 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.
- 1.2 The Authority is committed to the highest possible standards of openness, probity and accountability. In line with that commitment we expect officers, and others that we deal with, who have serious concerns about any aspect of the Authority's work to come forward and voice those concerns. It is recognised that most cases will have to proceed on a confidential basis.
- 1.3 This policy document makes it clear that you can do so without fear of victimisation, subsequent discrimination or disadvantage. This Confidential Reporting Policy is intended to encourage and enable members of staff to raise serious concerns within the Authority rather than overlooking a problem or "blowing the whistle" externally.
- 1.4 This policy applies to all Authority staff (temporary, permanent, part time and full time) and any agency staff or consultants undertaking work on behalf of the Authority. It also applies to contractors working for the Authority, such as agency staff.
- 1.5 There are existing procedures in place to enable you to lodge a grievance relating to your own employment.

2. **Aims and scope of this Policy**

- 2.1 This policy aims to:
 - encourage you to feel confident in raising serious concerns and to question and act upon concerns about practice
 - provide avenues for you to raise those concerns and receive feedback on any action taken
 - ensure that you receive a response to your concerns and that you are aware of how to pursue them if you are not satisfied

- reassure you that you will be protected from possible reprisals or victimisation if you have a reasonable belief that your concerns are justified and you have made any disclosure in good faith.

2.2 The Confidential Reporting Policy is intended to cover major concerns that fall outside the scope of other procedures. Your concern may be about something that:

- is unlawful (e.g. theft, false claims etc)
- is related to miscarriages of justice
- relates to possible fraud and corruption
- is a health and safety risk (including risks to the public as well as colleagues)
- damages the environment
- relates to the unauthorised use of public funds
- relates to sexual or physical abuse
- amounts to improper or other unethical conduct
- makes you feel uncomfortable in terms of known standards, your experience or the standards you believe the Authority subscribes to
- is against the Authority's procedures, rules and policies or
- falls below established standards of practice
- relates to the conduct of Authority Members

3. Harassment or Victimisation

3.1 The Authority is committed to good practice and high standards and wants to be supportive of staff.

3.2 The Authority 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, or suspected of, the malpractice). If what you are saying is true, you should have nothing to fear because you will be doing your duty to your employer.

3.3 The Authority will not tolerate any harassment or victimisation in accordance with the Anti-Discrimination Protocol and will take appropriate action to protect you when you raise a concern in good faith. However, should you feel that you have suffered harassment, either directly or indirectly, as a result of raising a concern then you should refer the matter to the Chief Executive, unless the matter relates to his or her conduct, in which case you should contact the Deputy Chief Executive.

3.4 Any investigation into allegations of potential malpractice will not influence, or be influenced by, any disciplinary or redundancy procedures that may already affect you.

4. Confidentiality

- 4.1 All concerns will be treated in confidence and every effort will be made not to reveal your identity if you so wish. However, you should appreciate that the investigation process may reveal the source of the information and a statement by you may be required as part of the evidence. At the appropriate time you may need to come forward as a witness.

5. Anonymous disclosures

- 5.1 This policy encourages you to put your name to any expression of concern about possible wrongdoing whenever possible.
- 5.2 Concerns expressed anonymously are generally likely to be less credible and much more difficult to investigate.
- 5.3 Factors to be taken into account would include:
- the seriousness of the issues raised
 - the credibility of the concern; and
 - the likelihood of confirming the allegation from attributable sources.

6. Unsubstantiated concerns

- 6.1 If you make a **disclosure** in good faith, 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.

7. How to raise a concern

- 7.1 You may wish to consider discussing your concern with a colleague or union/professional association representative 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.
- 7.2 You may invite your trade union/professional association representative or a colleague to raise a matter on your behalf.
- 7.3 As a first step, you should normally raise any concerns about a member of staff with your immediate manager. This depends, however, on the seriousness and sensitivity of the issues involved and who is suspected of the malpractice. If in any doubt, speak to the Chief Executive unless he or she is the person suspected, in which case you should contact the Deputy Chief Executive. If you believe a member is involved, you should approach the Monitoring Officer.
- 7.4 Concerns may be raised verbally or in writing. If you do not feel able to put your concerns in writing you should phone or meet the appropriate officer who will agree

- the background and history of the concern (giving relevant dates names and places)
- the reason why you are particularly concerned about the situation

7.5 The earlier you express the concern the easier it is to take action.

7.6 Although you are not expected to provide proof, you will need to demonstrate to the person that you contact that there are reasonable grounds for your concern.

8. How the Authority will respond

8.1 The Authority will respond to your concerns. Please note that testing out your concerns is not the same as either accepting or rejecting them.

8.2 Where appropriate, the matters raised may:

- be investigated by management, internal auditors, or through the disciplinary process
- be referred to the police
- be referred to the external auditor
- form the subject of an independent inquiry
- be referred to the Monitoring Officer

8.3 In order to protect individuals (and those accused of misdeeds or possible malpractice) initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. The overriding principle which the Authority will have in mind is the public interest. Concerns or allegations which fall within the scope of specific procedures (for example, grievance 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 conducted.

8.5 Within ten working days of a concern being raised, the person to whom it is addressed will write to you:

- acknowledging that the concern has been received
- indicating how the Authority proposes to deal with the matter
- giving an estimate of how long it will take to provide a final response
- telling you whether any initial enquiries have been made, and
- telling you whether further investigations will take place and if not, why not.

- 8.6 The amount of contact between you and the officer(s) considering the issue(s) will depend on the nature of the matter(s) raised, the potential difficulties involved and the clarity of the information provided. If necessary, the Authority will seek further information from you.
- 8.7 Where any meeting is arranged (off-site if you so wish) you can be accompanied by a union, professional association representative or a colleague (who is not involved in the area of work in which the concern relates).
- 8.8 The Authority will take steps to minimise any difficulties that 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 Authority will arrange for you to receive advice about the procedure.
- 8.9 The Authority accepts that you need to be assured that the matter has been properly addressed. Subject to any legal constraints, we will inform you of the outcome of any investigation.

9. The Responsible Officer

- 9.1 The Authority's Monitoring Officer has overall responsibility for the maintenance and operation of this policy. The Monitoring Officer will maintain a record of concerns raised and the outcomes (but in a form which does not endanger your confidentiality).

10. How the matter can be taken further

- 10.1 This policy is intended to provide you with an avenue within the Authority to raise concerns. The Authority 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 Authority, the following are possible contact points:
- the external auditor
 - your trade union
 - your local Citizens Advice Bureau or a relevant voluntary organisation
 - relevant professional bodies or regulatory organisations
 - the police
 - your solicitor
 - the Ombudsman
 - The Standards Board for England (regarding complaints about Members)
- 10.2 If you do take the matter externally, you should ensure that you do not disclose confidential or privileged information. Please check with the Monitoring Officer, Chief Executive or your manager first.

11. Statutory Protection.

- 11.1 This policy does not in any way affect your statutory rights as an employee under Part IVA of the Employment Rights Act 1996, which was brought into force by the Public Interest Disclosure Act 1998, commonly referred to as “The Whistleblowing Act”. These provisions give employees statutory protection against unfair dismissal and other forms of disciplinary action if they make certain types of disclosure in the public interest.

12. Approval for this policy

- 12.1 This version was approved by the Standards Committee on 13th March 2007, and by the Authority on 27th June 2007.

13. Review and Monitoring

- 13.1 This policy is to be reviewed and monitored every two years. The next review date is June 2009. The Monitoring Officer will monitor this Policy.