

Meeting of:	Governance and Audit Committee
Date of Meeting:	Tuesday, 20 July 2021
Relevant Scrutiny Committee:	All Scrutiny Committees
Report Title:	Whistle Blowing Annual Report
Purpose of Report:	To provide the Governance and Audit Committee with a summary of Whistleblowing incidents recorded
Report Owner:	Debbie Marles, Monitoring Officer/Head of Legal and Democratic Services
Responsible Officer:	Debbie Marles, Monitoring Officer/Head of Legal and Democratic Services
Elected Member and Officer Consultation:	There are no matters in this report which relate to an individual ward
Policy Framework:	This is a matter for executive decision
<p>Executive Summary:</p> <ul style="list-style-type: none"> • The council adopted the Whistle Blowing Policy (the Policy) in 2014. • The purpose of the Policy is to ensure that employees of the Council are aware of their responsibility to the public and to protect individuals who may need to disclose information concerning any 'malpractice' within the Council, including any confidential information which relates to some danger, fraud or other illegal or unethical conduct connected with the workplace, be it of the employee or a fellow employee. • A review of the Policy was commenced in 2019 and a revised Policy was endorsed by Audit Committee on 03 February 2020, subject to a process flow chart being included. Progress on the development of the policy was delayed due the Corona Virus pandemic. It is anticipated that the revised policy will be submitted to Cabinet for approval by the Head of Human Resources and Organisational Development (Appendix B). Once adopted, promotional and marketing work will be undertaken. Further to this a staff survey will be undertaken in Quarter 4 to assess staff awareness of the policy, protections and willingness to report incidents. • The number of reported incidents during 2020/21 was 4, which is in line with the 5-year average of 3.67 per annum. The peak reporting figure of 7 in 2018/19 continues to appear to be an exception to the overall trend. 	

- A total of 22 incidents have been reported over past 6 years, with Learning and Skills Directorate showing the lowest number at 3 and Environment and Housing Directorate with the highest number of reported incidents at 9 (Appendix A).
- During the 2020/21 the Council received 338 corporate complaints from members of the public, 43 under the Social Services Complaints Procedure (Wales) Regulation 2014 and 38 referred from the Public Service Ombudsman for Wales. These complaints are analysed in a separate Annual Corporate Complaints and Compliments Report 2020/21.

Recommendations

1. That the Governance and Audit Committee note the contents of the report
2. That the Governance and Audit Committee continues to receive annual reports in relation to the policy implementation and incidents

Reason for Recommendations

1&2 To ensure the effective monitoring of whistleblowing incidents is undertaken

1. Background

- 1.1 The council adopted the current policy in 2014
- 1.2 The purpose of the Policy is to ensure that employees of the Council are aware of their responsibility to the public and to protect individuals who may need to disclose information concerning any 'malpractice' within the Council, including any confidential information which relates to some danger, fraud or other illegal or unethical conduct connected with the workplace, be it of the employee or a fellow employee.
- 1.3 The Policy and procedures apply to employees of the Vale of Glamorgan Council (excluding those employed at a school by a School Governing Body), temporary employees, trainees and independent contractors as well as those engaged through an external agency.
- 1.4 The Policy confirms the standards expected from employees and sets out a framework within which staff can make a "protected disclosure" without fear that they will be subjected to victimisation or dismissal as long as the disclosure is made in the public interest in accordance with the Public Interest Disclosure act 1998 (The Act).
- 1.5 The Act identifies that staff can make a "protected disclosure" if in the reasonable belief of the member of staff making the disclosure intends to show one or more of illegal practices, a failure to comply with legal obligation, the health and safety of an individual (member of public or staff) being endangered, damage to the environment, a miscarriage of justice and/or the deliberate concealment of any of these.
- 1.6 The Operational Manager Customer Relations is responsible for the registration and maintaining a central record of all Whistleblowing concerns and to monitor progress and outcome of each investigation.
- 1.7 Directors are responsible for the receipt and population of the whistleblowing central register and for the effective operation of the policy within their own directorate. This includes ensuring that each employee is aware of the policy and how to use it, managers are effectively trained in the use of the policy and whistleblowing concerns are appropriately recorded and managed.
- 1.8 The Governance and Audit Committee acting through the Monitoring Officer has within its terms of reference overall responsibility for the maintenance and operation of the Whistleblowing Policy with the Head of Human Resources and Organisational Development having responsibility for updating the policy as

appropriate. The Monitoring Officer is responsible for reporting to the Governance and Audit Committee in a confidential format.

- 1.9** The central register of Whistleblowing concerns has been maintained on the Councils Oracle Customer Relationship Management (CRM) database and access to records is strictly controlled by user access permissions. The information in this report has been produced using CRM reporting functionality.
- 1.10** The revised policy (Appendix B) seeks to simplify the staff options for reporting incidents by providing for a single, telephone hotline number and email address.
- 1.11** This will also ensure consistency of reporting; that the appropriate policy is utilised for the specific circumstances and allow audit to monitor incidents of fraud.

2. Key Issues for Consideration

- 2.1** Since the last report marketing and promotional activity has been limited to publicising the policy on Staffnet and maintaining posters on staff notice boards at main operational sites still in use by staff as resources have been focussed on the Council's response to the Corona Virus pandemic.
- 2.2** Further promotion will be undertaken subsequent to a revised policy being authorised and implemented. This work is now anticipated to take place during quarter 4 of 2021/22 and will reflect improved reporting opportunities and changes in staff working arrangements, including the way in which information is accessed.
- 2.3** During 2020/21 a total of 4 whistleblowing incidents have been reported and recorded, increasing total reports over the 6-year period to 22, peaking in 2018/19 at 7 (appendix A).
- 2.4** Currently, there are no publicly available compiled statistics for local authority whistle blowing incidents and therefore it is not possible to ascertain whether the level of reporting for the Council is comparable with similar authorities, however having liaised with Monitoring Officer colleagues the following whistleblowing notification has been collated:

Carmarthenshire County Council:

2018/19 - 4

2019/20 - 6

2020/21 - 3

Monmouthshire County Council:

2018/19 - 2

2019/20 - 3

2020/21 - 3

Isle of Anglesey County Council:

2018/19 - 1

2019/20 - 1

2020/21 - 1

Rhondda Cynon Taf County Borough Council:

2017/18 - 5

2018/19 - 9

2019/20 - 6

2020/21 - 14

Torfaen County Borough Council:

Notifications for each year - 0

- 2.5** During the 2020/21 complaints from customers using the Corporate Concerns and Complaints Policy totalled 338 and Social Services complaints totalled 43. Complaints referred to the Public Services Ombudsman for Wales totalled 38, which is in line with the volume expected based on population, when compared to complaints received across Welsh local government as a whole. These statistics indicate that the Council has processes in place which make access to complaints processes and resolution easy and convenient for residents.
- 2.6** All 4 incidents recorded for 2020/21 related to services within the Environment and Housing Directorate. Managing Director and Resources Directorate last recorded an incident in 2019/20, while both Learning and Skills and Social Services Directorates last recorded incidents in 2018/19.
- 2.7** Of the 22 reported incidents across the authority 16 were not upheld, 5 have been partially upheld, 1 has been upheld (Social Services 2015/16).
- 2.8** A total of 11 incidents related to Illegal Practices (including Fraud and misuse of Council assets and equipment), 6 to failure to Meet Legal Obligations (including mishandling of funds and employment disputes) and 4 to Health and Safety concerns (including management of asbestos). No incidents related to Damage to the Environment or Miscarriage of Justice.
- 2.9** The Council recognises the importance of being able to learn from Whistle Blowing investigations to improve the specific situation and where applicable to apply this learning more widely to reduce the risk of similar issues arising. Actions arising from investigations have included revise and strengthen processes and procedures, improving communication with staff, undertaking of staff training and, in one instance, instigation of disciplinary procedures.
- 2.10** The Council is replacing the current Oracle CRM with a modern digital platform during 2021/22. The improved functionality available on the new platform will be explored for potential to improve how incidents are captured, managed and analysed.

3. How do proposals evidence the Five Ways of Working and contribute to our Well-being Objectives?

- 3.1** The Policy provides opportunity for staff to highlight concerns regarding the way the council works, ensuring resources are used sustainably and in a way that best benefits residents.

4. Resources and Legal Considerations

Financial

- 4.1** The Policy helps ensure that Council funds and resources are used appropriately.

Employment

- 4.2** There is a resource impact in relation to the investigation and resolution of concerns under the policy. The impact is borne by directorates and Internal Audit.

Legal (Including Equalities)

- 4.3** The Policy helps to ensure that crime committed by Council employees in undertaking their duties can be detected and addressed.

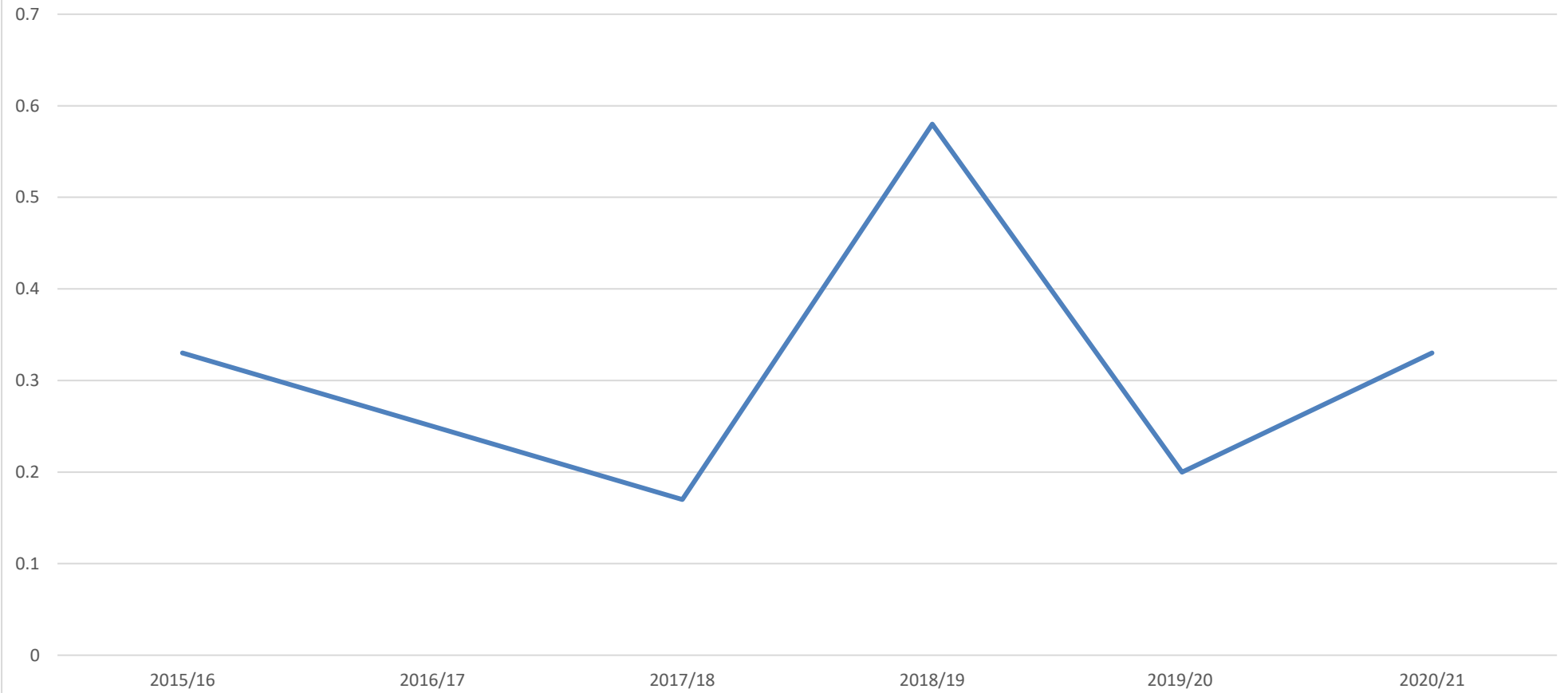
5. Background Papers

None

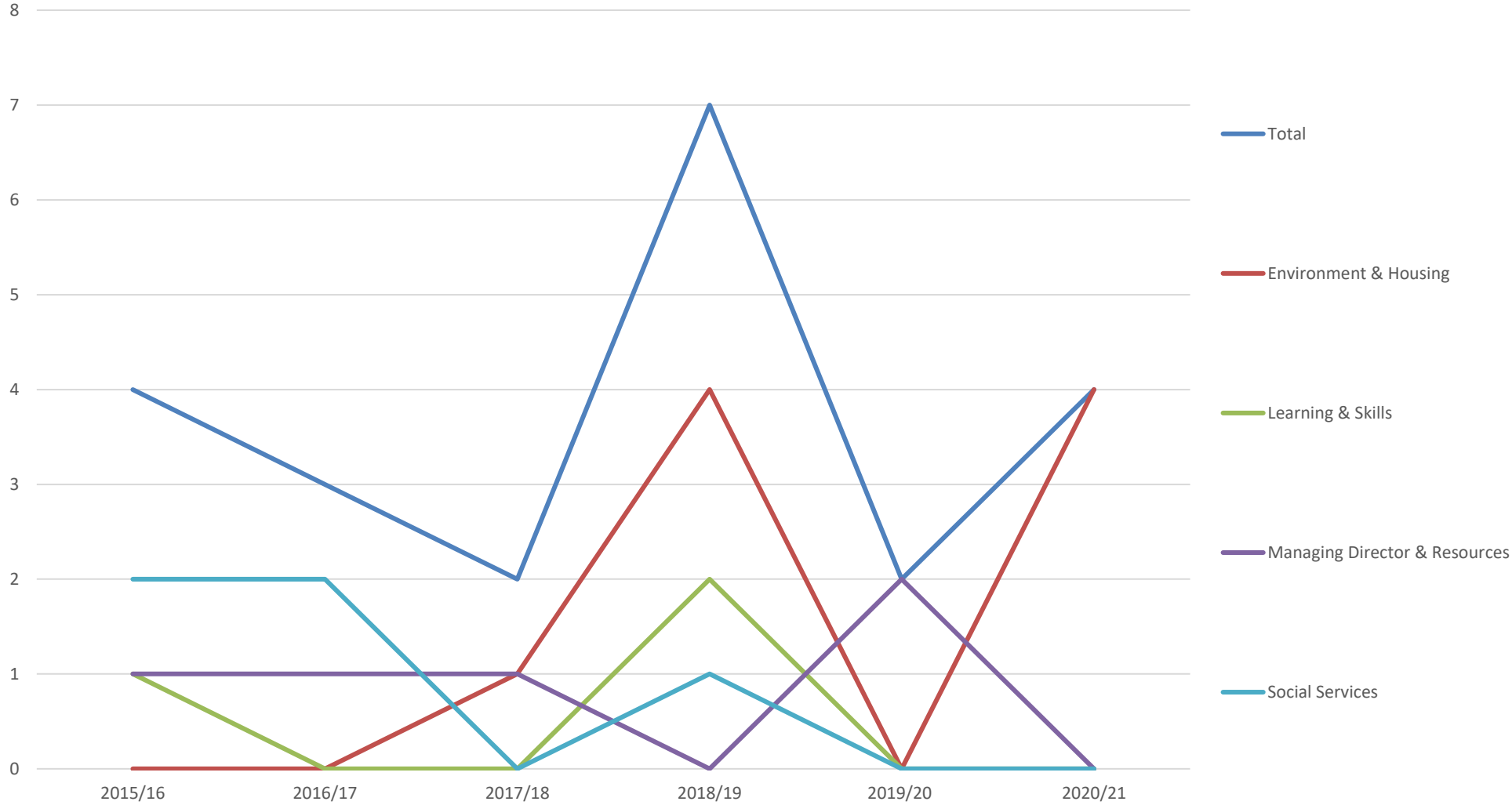
Whistle Blowing Report Summary 2014/15 - 2020/21**Appendix A**

Reporting Period	Total	Environment & Housing	Learning & Skills	Managing Director & Resources	Social Services
2015/16	4	0	1	1	2
2016/17	3	0	0	1	2
2017/18	2	1	0	1	0
2018/19	7	4	2	0	1
2019/20	2	0	0	2	0
2020/21	4	4	0	0	0

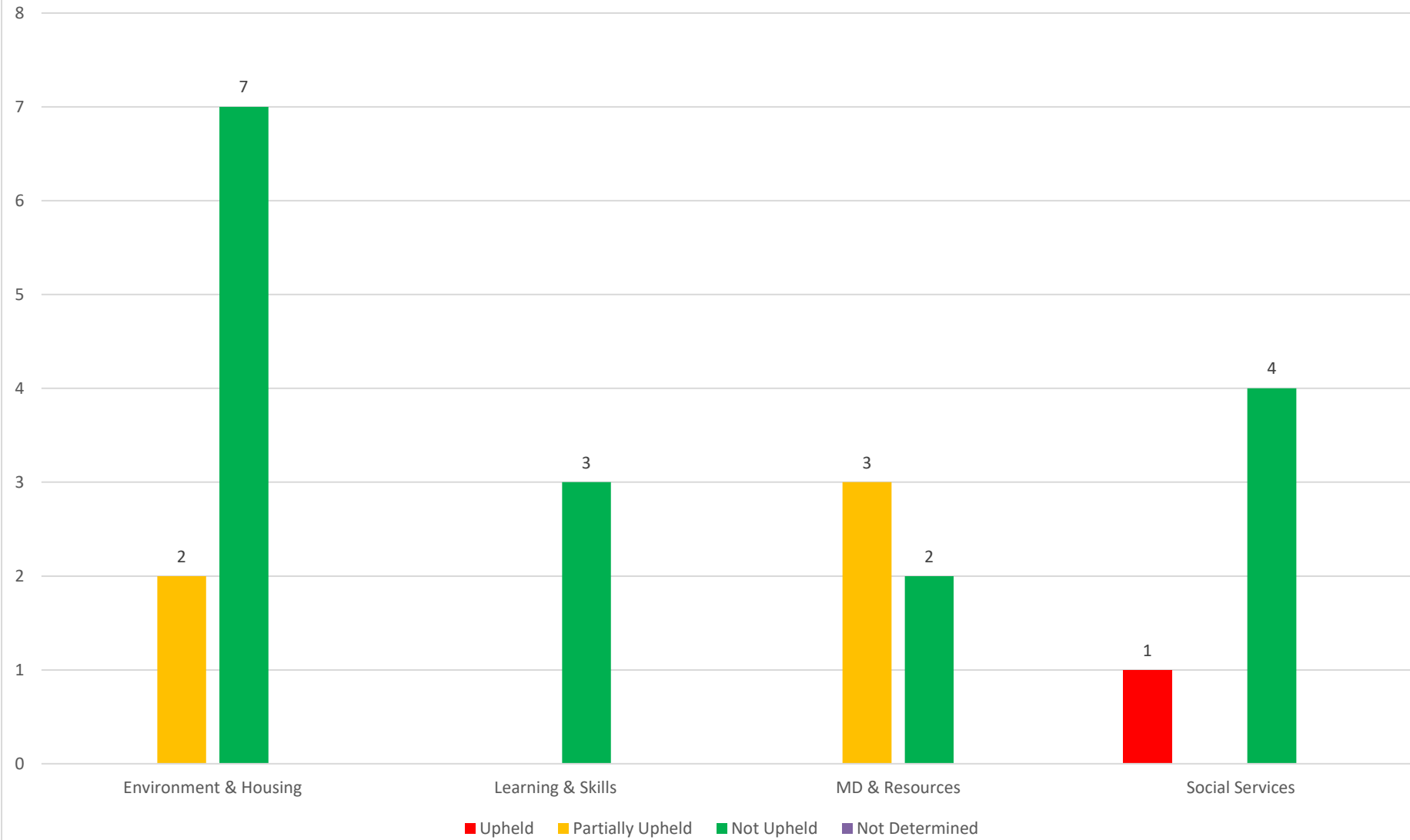
Average Whistle Blowing Reports Per Month by Financial Year



Whistle Blowing Incidents by Directorate



Outcome by Directorate 2015 - 2021



CONCERNS BY CATEGORY

	Illegal Practices	Failure of Legal Obligations	Health & Safety	Damage to Environment	Miscarriage of Justice
2015/16	1	1	1	0	0
2016/17	2	0	1	0	0
2017/18	0	1	1	0	0
2018/19	6	1	0	0	0
2019/20	1	1	0	0	0
2020/21	1	2	1	0	0



Whistleblowing Policy

**Human Resources Division
Directorate of Resources**

**Speak Out, Report Wrongdoing
a Safer Alternative to Silence**

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Control

Policy Lead Officer: Head of Human Resources and Organisational Development
Responsible Officer: Monitoring Officer
Consultation: Council Governance & Audit Committee
Implementation Date: xxxxxxxx 2021
Review Arrangements: Annually

Introduction

At the Vale of Glamorgan Council, we want to make sure that we are providing excellent services to the residents of the Vale. All our staff, permanent and temporary, Councillors, partners, agency workers and contractors have an important role to play in achieving this goal and we expect everyone to be committed to our high standards of service which are based on the principles of honesty, openness, and accountability.

We know that we face the risk that something may go wrong or that someone may ignore our policies, our procedures or the law resulting in some very serious consequences. Experience shows that staff, or others who work on behalf of an organisation, often have worries or suspicions and could, by reporting their concerns at an early stage, help put things right or identify and stop potential wrongdoing.

A Whistleblower is generally a term used for a person who works in or for an organisation and raises an honest and reasonable concern about a possible fraud, crime, danger or other serious risk that could threaten colleagues, service users, contractors, customers, members of the public or the success and reputation of the organisation.

We want you to feel that it is safe and acceptable to speak out about your concerns so that we can investigate and act as soon as possible. We recognise that you may be worried about reporting for a number of reasons:

- fear of reprisal or victimisation (e.g. loss of job)
- too much to lose (reputation, damage to career etc)
- feelings of disloyalty
- worries about who may be involved
- you have no proof only suspicions
- fear of repercussions if there is no evidence or you are proved wrong

We welcome all genuine concerns and will treat your issues seriously - this policy explains how to raise a concern, the types of activity you should report, the protection we can provide, confidentiality, our response and how you can take matters further, if necessary.

We want to assure you that there is no reason to remain silent; your decision to speak to us may be difficult but, if you believe what you are saying is true, you have nothing to fear as you are following the Council's Code of Conduct and helping to protect the users of our services and the residents of the Vale. We will not tolerate

any harassment or victimisation and we will take action to protect those of you who raise concerns that you believe to be in the public interest.

UK law protects employees from dismissal, harassment, or victimisation if such treatment occurs as a result of having made a whistleblowing disclosure considered to be **in the public interest**. In addition to the employer's liability, the individual who subjects the employee to such treatment may also be held personally liable.

This policy does not replace our existing employment policies and procedures: grievance, code of conduct and disciplinary. You should use these policies and procedures if you have a personal grievance or are unhappy with the way you are being treated. Our Whistleblowing arrangements are not intended to give you a further opportunity to pursue a grievance or complaint once you have exhausted the relevant employment procedures.

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VALE OF GLAMORGAN COUNCIL WHISTLEBLOWING POLICY

Scope

You can use our Whistleblowing arrangements if you are: a Councillor, Council Employee, employee of a Local Authority School, a School Governor (*if the school has adopted our policy*), a contractor or partner. Our policy also applies to agency staff, contractor staff and suppliers providing goods or services to, or on behalf of, the Council.

Our Whistleblowing arrangements **do not** replace the following:

- Children and Young People Safeguarding reporting
- Adult Care Safeguarding reporting
- Corporate Concerns and Complaints Policy
- Disciplinary Policy
- Grievance Procedure
- Code of Conduct
- Anti-Fraud and Bribery Policy

You should only consider raising concerns through our Whistleblowing arrangements if:

- you have genuine reasons why you cannot use the above policies and procedures
- you have reason to believe that these policies and procedures are failing or are not being properly applied
- there is a public interest aspect

Protection and Confidentiality

The Whistleblowing law is contained in the Public Interest Disclosure Act 1998 (PIDA – amended by the Enterprise and Regulatory Reform Act 2013). Public bodies, such as this Council, are required to have a Whistleblowing policy and to ensure that employees are not victimised or dismissed for raising their concerns internally. This also applies to those who, as a last resort, feel the need to take their concerns to an outside body, such as the Local Government Ombudsman.

You may feel that the only way you can raise your concerns is if we protect your identity. If the whistleblower does choose to disclose their identity, we will respect confidentiality as far as possible, but there are times when we cannot guarantee this, for example, where a criminal offence is involved or if there are child protection or adult safeguarding issues.

We will attempt to ensure the whistleblower's identity is not disclosed to third parties and information will not be disclosed unless the law allows or compels us to do so, for example in order to comply with a court order. If the information you provide includes personal information about another person, then that person may be entitled to access it under subject access provisions of the Data Protection Act or

General Data Protection Regulations (GDPR). If releasing that information could reveal identifying information about the whistleblower, we will always ask for your consent prior to releasing the information.

We will not tolerate any harassment or victimisation (including informal pressure) and we will take action to protect you when you raise a concern believed to be in the public interest. We will take any disciplinary or corrective action should anyone attempt to victimise the whistleblower or prevent concerns being raised.

If we proceed to a formal investigation, we may require you to give evidence along with other employees and witnesses; we are, in some circumstances, able to do this without disclosing the identity of the whistleblower. A statement from you may also be required as part of criminal proceedings or Employment Tribunal – this depends on the nature of the concern.

If your whistleblowing disclosure results in an internal investigation and you provide a witness statement under that process, your statement may be used for disciplinary purposes. This means your statement may be given to the subject as part of a disciplinary hearing. An employee subject to the disciplinary process can ask to see personal information held about them at any time under the subject access provisions of the Data Protection Act – this may include information within your statement. If it is possible to provide access to personal information within your statement without revealing any information about you, we will do so. If this is not possible, we will always seek your consent before releasing any information.

If your statement is not required for disciplinary purposes it will be:

- held confidentially on our case file (until the case file is destroyed after 7 years)
- released only with your consent or a Police / Court Order

The Council:

- does not expect you to give us your consent – this is your decision alone – but we are required by law to ask you
- does not need a reason should you choose to refuse the request

If you find yourself the subject of a whistleblowing disclosure and a decision is made to investigate, the Council will follow the appropriate employment procedure: code of conduct, grievance or disciplinary. This means you will have all the rights contained in that procedure, such as, the opportunity to respond to the allegation and representation at the investigatory interview.

What you should report

We encourage you to use our whistleblowing arrangements for issues such as:

- conduct which is a criminal offence or breach of law
- a breach of our Code of Conduct for staff or Councillors
- sexual, physical, or verbal abuse of our clients, employees, contractors or public
- dangerous procedures risking the health & safety of our clients, employees, contractors or public
- unauthorised use of public funds
- suspected fraud or corruption
- damage to the environment (e.g. land, buildings, highways, water, air, waste, energy, transport, natural habitat etc.)
- unethical or improper conduct
- services that fall seriously below approved standards or practice
- failure to follow the Council's policies and procedures

NB. This is not an exhaustive list

Anonymous or untrue allegations

We do not encourage anonymous reporting as the concerns are more difficult to investigate and are generally less powerful. We would like you to put your name to the allegations whenever possible and remind you of the protection we can provide if we know who you are.

Anonymous whistleblowing referrals will be considered at the discretion of the officers handling your concern, in consultation with the service area, where appropriate. This discretion will be based on the:

- seriousness of the issues raised
- credibility of the concern
- likelihood of confirming the allegation from an attributable source
evidence base

It may be that our investigations do not confirm your allegation. We take all concerns seriously and can assure you that no action will be taken against you if you have raised a concern in the genuine belief that it is, or may be, true.

If we find that you have maliciously made a false allegation, we will take action and you will not be eligible for protection under PIDA.

How to raise a concern

We encourage you initially to raise your concern internally – this allows the Council the opportunity to right the wrong and give an explanation for the behaviour or activity. We also advise staff to report any allegation to their line manager. We recognise that your first actions will depend upon the seriousness and sensitivity of the issues and who you believe to be involved.

We advise that you make it clear that you are raising your concerns under the Council's whistleblowing arrangements – this will help managers respond in line with this policy. (See Flowchart – Whistleblowing Process)

If you are in any doubt about what you should do, you can contact:

- Managing Director: 01446 709202
- Monitoring Officer: 01446 709402
- Section 151 Officer: 01446 709254
- Head of Regional Audit Service: 01446 709572
- Head of Human Resources: 01446 709357

All are located at the following address:

Vale of Glamorgan Council
Civic Offices
Holton Road
Barry
CF63 4RU

Chair of Governors (if you work for a school)

You may wish to raise the matter in person, and you can do this by using one of the contact numbers above or alternatively you can contact the Council's confidential SpeakOut out number below.

The Investigation Officer, who reports to the Head of Regional Audit Service, will monitor this dedicated reporting line. If you call this number out of hours you can leave a message on the answer phone, which is located in a secure area.

Concerns are better submitted in writing – we need the background and history of your concern, giving names, copies of any documents, dates, and places (where possible). We would like you to explain why you are concerned about the situation – we do not expect you to prove the truth of an allegation, but you will need to show that there are sufficient grounds for your concern.

You can write directly to one of the officers named above or you can use the confidential dedicated email address (which is monitored by the Investigation Officer).

Email address: SpeakOut@valeofglamorgan.gov.uk (dummy)

You may also call our Confidential SpeakOut Line:

- 01446 999999 (dummy)

Staff have the option to seek independent advice from their trade union representative or professional association or can invite a work colleague to raise a concern on their behalf.

Further free and independent advice may be sought from Protect [*formerly known as Public Concern at Work (PCAW)*], the whistleblowing charity, via their email link: protect-advice.org.uk or on their whistleblowing advice line: 020 3117 2520.

Remember – the earlier you raise the concern, the easier it is to take action.

Guidelines for Managers

An employee must not be afraid to raise concerns they may have relating to bad practice within the Council and must not suffer any disadvantage as a result of voicing a reasonably held suspicion.

Senior Managers are expected to deal swiftly and thoroughly with such concerns. In following up such concerns, clearly defined procedures will be adopted. When receiving a complaint or concern in relation to bad practice the following steps should be taken:

- the matter should be dealt with promptly.
- advice should be given to the employee, if appropriate that their concerns and any follow-up reports will be treated in the strictest confidence.
- all staff concerns should be treated seriously and sensitively.
- the employee should be questioned sufficiently so that you can be assured that there is a genuine cause for concern.
- managers should make a note all relevant details, obtaining as much information as possible, and if the individual has made his or her own notes, where possible obtain a copy of these or advise the complainant to retain them for future reference.
- ensure that the evidence is Clear and logical, adequately supported, and secure, ensuring that you do not interfere with evidence.
- advise an employee that, if necessary, further information may be sought from them.
- evaluate the allegation objectively to confirm whether any suspicions seem justified.
- be objective when assessing the issue, consider the facts as they appear, based on the information available to you.
- consider that some concerns may be resolved by agreed action without the need for further investigation.
- if you remain in any doubt you should raise the issue with your line manager to identify the next steps.
- take all immediate action necessary to ensure that no individual is at risk of harm or injury.
- verify with your Senior Manager the next steps to be taken if the issue is outside your direct remit/responsibility.
- take all necessary action to protect the 'whistle blower', any witnesses to the concerns raised and ensuring that any evidence available or produced is not tampered with.

- take all reasonable steps to prevent co-workers and/or an agent of the Council, acting on the Council's authority, from subjecting the 'whistle blower' to a detriment. It is important to record the details of steps taken. You need to remember that employees who victimise whistle-blowers can be made personally liable for their own conduct and the Council could be held liable if it has not taken all reasonable steps to prevent the act of victimisation.
- ensure that the employee's identity must not be disclosed unless disclosure is necessary in furtherance of natural or prescribed justice.
- managers should report this matter in confidence to the relevant Chief Officer/Service manager.
- The Officer/Service Manager receiving the whistleblowing allegation will immediately notify the Operational Manager Customer Relations (OMCR) to include the disclosure on a central register.

How we will respond

Our response will depend on the nature of the concern raised and may be:

- advice only
- resolved by agreed action without the need for investigation
- investigated internally (by management, Audit, Investigation Officer, or other independent investigators)
- referred to the relevant safeguarding team (child protection or vulnerable adults)
- referred to the Police if a criminal matter
- referred to the external auditor
- the subject of an independent inquiry

The officer receiving the whistleblowing allegation will immediately notify the Operational Manager Customer Relations (OMCR) to include the disclosure on a central register.

We may carry out initial enquiries in order to protect individuals or employees and those accused of wrongdoing. We will use the results of these enquiries to decide whether an investigation is needed and if so, what form it should take. If urgent action is required, this will be taken before we start any investigation.

Concerns of fraud, bribery or corruption will be followed up by the Investigation Officer within the Regional Audit Service. If there are other serious concerns of a potentially criminal nature, the complaint will be referred to the Council's Monitoring Officer. They will determine whether the concern should be referred to the Police directly by the Council or whether the complainant should be advised to make such a referral.

If the Monitoring Officer decides that the matter should be referred to the Police by the Council, advice will be sought from the Police to establish if a simultaneous internal investigation can be conducted, and whether or not they consent for the subject of the complaint to be informed of the allegations.

The Council's Code of Conduct requires employees to notify their line manager immediately of any criminal investigation. Failure to do so could result in disciplinary action being taken. **Unable to substantiate at present, however, a worthwhile addition.*

We will acknowledge your whistleblowing disclosure within 5 working days. Within the next 10 working days we will write and explain how we propose to deal with the matter. The whistleblower will be:

- given an estimate of how long it will take to provide a final response
- told if initial enquiries have been made
- told if further investigation is required, and if not, why not (where appropriate)
- given details of support mechanisms
- advised of the investigating officer (where appropriate)
- advised how we will inform you of progress

The amount of contact between you and the Officer considering your whistleblowing disclosure will depend on the nature of the concerns raised. For example, if further investigation is required, the investigator may need to seek additional information from you.

If a meeting is necessary, this can be held off site if you prefer. If you are an employee, you will have a right to be accompanied – this will be a union representative or work colleague (not involved in the area where the concern exists).

We will help with any difficulties you may experience as a result of raising a concern – we will, for example, provide advice if you are required to give evidence for criminal or disciplinary proceedings. Sometimes, whistleblowers have counter-allegations made against them. The Council has a duty to investigate any concerns that it receives and that will apply in these circumstances. However, this will not detract from the principles, as set out in this policy, which govern how the Council will respond to whistleblowers. **The over-riding objective will be to establish the truth.**

Records will be retained of all work carried out and actions taken to address the concerns raised by the whistleblower, including the investigator's case file, where relevant. All files will be held securely and confidentially, in accordance with the Council's retention of records policy.

At the end of our investigations we will provide feedback to the whistleblower (if known) on actions taken and limited detail on the outcome of investigations. Feedback will be subject to legal constraints, but we do recognise the importance of providing you with assurances that the matter has been dealt with properly.

Taking the matter further

If you have genuine concerns about how we have handled your whistleblowing disclosure you can raise this with the Investigating Officer(s) and/or the Monitoring Officer.

Monitoring

The Monitoring Officer will provide an annual report to the Council's Audit Committee which has responsibilities for overseeing the effectiveness of the Council's governance arrangements. All reporting will be anonymised and will only identify common themes, numbers of disclosures year on year and will highlight actions taken to improve systems and policies.

The Council's Governance Group will monitor the effectiveness of this policy.

Final Notes

If a concern relates to an external organisation you can report the concern to a prescribed person rather than the Council. Attached as **Appendix 1** to this policy is a link to a list of external organisations as per GOV.UK which may help you to identify the appropriate 'prescribed person', depending upon the nature of the organisation and the concerns raised, their responsibilities and how to contact them if you need to make an external disclosure.

You should be aware that the Auditor General for Wales or their appointed auditors will deal with matters about public services in Wales including value for money, fraud and corruption which provide public services'. **Appendix 2** is a copy of the Wales Audit Office Whistleblowing leaflet.

Any concerns about 'the proper conduct of a public business, value for money, fraud and corruption in relation to the provision of public services' can be made to the Auditor General for Wales on telephone number 02920 320522 which has been dedicated for this purpose, via email whistleblowing@audit.wales or by writing to:

*PIDA Officer
The Auditor General for Wales.
24 Cathedral Road
Cardiff
CF11 9LJ*

However, neither the Auditor General for Wales nor their appointed auditors have the power to decide whether a disclosure is protected, or to get involved in employment relations matters and they cannot provide legal advice. The Auditor General for Wales and their appointed auditors have no power to discipline any individuals, or to bring criminal prosecutions after completing any investigations.

Disciplinary action can only be taken by the council/school or relevant professional organisations. Allegations of criminal behaviour are referred to the police for investigation, if deemed appropriate by the police, resulting in any such prosecutions being determined by the Courts.

If it is not possible to make your disclosure internally you should consider whether it is appropriate to report your concerns to others including your MP, Assembly Member, or to the Local Government Ombudsman. This step should be taken only where opportunities to raise matters internally have been fully exhausted.

Appendices

Appendix 1

www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies

Appendix 2



Whistleblowing
Leaflet.pdf

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Archwilydd Cyffredinol Cymru
Auditor General for Wales

Are you concerned about wrongdoing or malpractice in the workplace?



WALES AUDIT OFFICE
SWYDDFA ARCHWILIO CYMRU

Are you concerned about wrongdoing or malpractice in the workplace?

This leaflet is designed to help you take the next steps. It may be particularly relevant if you work for a Welsh public body such as a local health board, local authority or the Welsh Government.

Whistleblowing disclosures

The Public Interest Disclosure Act 1998 (the Act) was introduced to protect employees who are worried about wrongdoing in the workplace and want to 'blow the whistle'. The Act applies to most employees and includes those employed on a temporary basis or through an agency. An employee who is subjected to detriment in any way because they have 'blown the whistle' can take their employer to an Employment Tribunal.

Role of the Auditor General for Wales

Under the Act, the Auditor General for Wales (the Auditor General) is a 'prescribed person' for concerns about 'the proper conduct of public business; value for money, fraud and corruption in relation to the provision of public services'.

About the Auditor General and the Wales Audit Office

The Auditor General is the auditor of most public bodies in Wales, including the Welsh Government, its sponsored and related public bodies, local government bodies and NHS bodies. The Wales Audit Office is a statutory board that provides staff and other resources for the Auditor General's work, and monitors and advises the Auditor General in relation to his work. The Auditor General carries out both financial audit work (the audit of accounts) and performance audit (value-or-money work) at public bodies.

The legal powers and responsibilities of the Auditor General are set out in the Government of Wales Act 2006, the Public Audit (Wales) Act 2004 and other pieces of legislation.

The Auditor General is not under a duty to investigate every disclosure he receives. Indeed, he can only investigate disclosures in accordance with his existing audit and related legal powers and duties (the Act does not confer any additional powers on to the Auditor General). The Auditor General bases his decision on whether or not to investigate on the relevance of the disclosure to his audit powers and duties. While we recognise that issues whistleblowers raise are important to them, we must make sure that we do not use public money looking at issues that are not relevant to our audit work, or spend too much time on minor issues.


Raising a concern

It is good practice for employers to have their own internal whistleblowing procedures, which should explain how you can raise any concerns. If your employer does have such procedures, you should follow them first unless there is a good reason not to.

If your concerns are matters for which the Auditor General is a prescribed person, and you cannot raise your concerns within your workplace, or have done so without the situation being resolved, it may be appropriate for you to raise your concerns with the Auditor General.

If you raise your concerns with a 'prescribed person' instead of your employer, an Employment Tribunal may class your disclosure as protected provided:

- **you have a reasonable belief that wrongdoing or malpractice is occurring, has occurred, or may occur, in the workplace;**
- **your disclosure is made in the public interest;**
- **you believe that the information, and any allegation it contains, is true as far as you know; and**
- **you have reason to believe that the matter is the prescribed person's responsibility.**



However, the Auditor General does not have the power to decide whether a disclosure is protected (because that is a matter for an Employment Tribunal), or to get involved in employment relations, and he cannot provide legal advice.

The Auditor General has no power to discipline any individuals, or to bring criminal prosecutions after completing any investigations. Disciplinary action can only be taken by the management of the organisation concerned, or any relevant professional organisations. In cases of criminal behaviour, you should notify the police (or other relevant law enforcement agency). The Auditor General is not a law enforcement agency. If you raise any matters with the Auditor General that appear to be a matter of criminal behaviour, the Auditor General will refer them to the police, or other relevant law enforcement agency.

The Auditor General only examines allegations of criminality such as fraud to the extent that examining the alleged criminality appears to facilitate or be incidental or conducive to our work, and then only if he is confident that such work would not prejudice a law enforcement investigation.

Contacting the Auditor General

To deal promptly and effectively with your concerns, the Auditor General has put arrangements in place so that individuals can raise their concerns in confidence with trained and experienced staff. You can contact the Auditor General as follows.

Write to:

PIDA Officer
The Auditor General for Wales
24 Cathedral Road
Cardiff
CF11 9LJ

E-mail: whistleblowing@audit.wales

Phone: 02920 320522

All communications with the Auditor General will be treated in confidence, as far as the law allows. You should be aware that in dealing with concerns raised, we will often have to liaise with relevant audited bodies and other third parties. You should also be aware that our raising of issues in order to respond to the concerns you have raised may mean disclosure of your identity is unavoidable. For example, if you have previously raised the same issue with your employer, it may be obvious whom we have received the disclosure from.

It may also be necessary to disclose, or otherwise process your personal information in order to exercise the Auditor General's functions (or to meet other legal obligations or the public interest) without your consent. Such processing would not be a breach of the Data Protection Act.

If we decide to investigate the concerns you have raised, we will, wherever possible, send you feedback when we complete our investigations. There may, however, be occasions when the law prevents us from giving feedback.

If you want to contact the Auditor General for any other reason, perhaps because you are concerned about value for money as a taxpayer rather than as an employee, you should visit [the Wales Audit Office's website](#) for information or call 029 2032 0500.

This document is also available in Welsh.

We welcome correspondence and telephone calls in Welsh and English. You can also write to us in either Welsh or English and we will respond in the language you have used. Corresponding in Welsh will not lead to a delay.

Points to remember

Always remember that, as a whistleblower, you are acting as a witness and not a complainant. You have to have reasonable suspicion but not actual evidence to support your concerns. If you do suspect wrongdoing where you work, you should follow a few simple guidelines.

Do:

- 1 Make an immediate note of your concerns. Note all relevant details, such as what was said in phone or face-to-face conversations, the date, time and the names of those involved.
- 2 Pass on your suspicions to someone with the appropriate authority and experience. Most employers have policies and procedures in place for whistleblowing, and your HR Department or Head of Internal Audit should be able to give you more details.
- 3 Deal with the matter promptly, if you feel your concerns are justified. Any delay may mean that your organisation or service users continue to suffer or that the risk of harm increases.

Don't:

- 1 Do nothing.
- 2 Be afraid of raising your concerns. Your employer must not subject you to any detriment if you raise your concerns. Your organisation must treat any matter you raise sensitively and confidentially.
- 3 Approach or accuse any individuals directly.
- 4 Try to investigate the matter yourself. This is particularly important if your concern is about a crime or breaking a legal duty. There are special rules for gathering evidence to use in criminal cases. Any attempt to gather evidence by people who are unfamiliar with these rules may destroy the case.
- 5 Pass on your suspicions to anyone who does not have the proper authority.

More advice and guidance

If you are thinking about making a disclosure and you are not sure what your legal rights are, you should consider getting independent legal advice.

If you would like advice on what information is protected under the Act, and how best to raise your concern, it may be helpful to call Public Concern at Work (an independent charity) on 020 7404 6609 or visit [their website](#).

If you are concerned about fraud or corruption within the NHS, you should call the NHS Counter Fraud Service's reporting line on 0800 028 4060 or visit the Report [NHS Fraud website](#) for more information. NHS workers should usually contact the NHS Counter Fraud Service reporting line in the first instance, but may raise concerns with us if they feel unable to do so.

If you are concerned about wrongdoing that does not involve how public business is carried out, value for money, fraud or corruption, you may find it helpful to visit the [Whistleblowing List of Prescribed People and bodies webpage](#) for details about other prescribed persons. Also, Public Concern at Work may be able to give you advice about the most appropriate organisations to contact.

We encourage people with impairment (disability) who require reasonable adjustments to let us know what those adjustments are. A reasonable adjustment may mean, for example, providing information in large font or in audio form in order to address visual impairment. We will provide further details on request.

Our contact details:

Wales Audit Office
24 Cathedral Road
Cardiff
CF11 9LJ

Phone: 029 2032 0500

Website: www.audit.wales