



<u>Committee and Date</u>	<u>Item</u>
Audit Committee 27 June 2019	8

2018/2019 Review of Whistleblowing - ‘Speaking Up About Wrongdoing’

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1. Summary

The Whistleblowing process provides arrangements to enable employees, elected members, contractors and others to raise concerns about fraud, corruption, adult/child protection or harassment and bullying allegations.

This report provides an update to the Shropshire Council Audit Committee on the number of cases raised including Council employees over the last year (excluding school-based employees).

2. Recommendations

The Audit Committee is asked to:

- a. Consider and approve, with appropriate comments on the contents of the report.

REPORT

3. Risk Assessment and Opportunities Appraisal

- 3.1 The Council has in place an effective Counter Fraud, Bribery and Anti-Corruption Strategy. The Council proactively encourages the detection of fraud and irregularities and the appropriate management of them. The Whistleblowing policies contribute to our zero tolerance of fraud, bribery and corruption.
- 3.2 The recommendations contained in this report are compatible with the provisions of the Human Rights Act 1998. There are no direct environmental, equalities, consultation or climate change consequences of this proposal.

4. Financial Implications

- 4.1 The management and investigation of issues raised in response to this policy are met from approved budgets.

5. Background

- 5.1 This is an annual report to Audit Committee on whistleblowing arrangements.
- 5.2 The Whistleblowing Policy is available to all staff via the Intranet pages and is also available to them, along with members, contractors, partners and the public, via the [website](#); allowing it to be accessed from any computer. This is particularly important as it allows staff to access the policy outside of a work environment, where they may be reluctant to be seen accessing the Whistleblowing policy.
- 5.3 Whistleblowing is when a worker reports suspected wrongdoing at work. Officially this is called 'making a disclosure in the public interest'. A worker can report things that aren't right, are illegal or if anyone at work is neglecting their duties, including:
- someone's health and safety is in danger
 - damage to the environment
 - a criminal offence
 - the company isn't obeying the law (like not having the right insurance)
 - covering up wrongdoing.
- 5.4 The way a worker can 'blow the whistle' on wrongdoing depends on whether they feel they can tell their employer.
1. The worker should check their employment contract or ask Human Resources if their company has a whistleblowing procedure.
 2. If they feel they can, they should contact their employer about the issue they want to report.
 3. If they can't tell their employer, they should contact a prescribed person or body.
- 5.5 A worker can only tell the prescribed person or body if they think their employer:
- will cover it up
 - would treat them unfairly if they complained
 - hasn't sorted it out and they've already told them
- 5.6 Dismissals and whistleblowing
- A worker can't be dismissed because of whistleblowing. If they are, they can claim unfair dismissal. They'll be protected by law as long as certain criteria are met.
- 5.7 Types of whistleblowing eligible for protection

These are called 'qualifying disclosures'. They include when someone reports:

- that someone's health and safety is in danger
- damage to the environment
- a criminal offence
- that the company isn't obeying the law (like not having the right insurance)
- that someone's covering up wrongdoing
- a miscarriage of justice

5.8 Who is protected?

The following people are protected:

- employees
- agency workers
- people that are training with an employer, but not employed
- self-employed workers, if supervised or working off-site

An individual is also protected if they work in a school or sixth-form college, whether an employee or an agency worker. NHS workers who work under certain contractual arrangements, e.g. certain GPs and dentists, are also protected.

A worker will be eligible for protection if:

- they honestly think what they're reporting is true
- they think they're telling the right person
- they believe that their disclosure is in the public interest

5.9 Who isn't protected?

Workers aren't protected from dismissal if:

- they break the law when they report something, e.g. they signed the Official Secrets Act
- they found out about the wrongdoing when someone wanted legal advice ('legal professional privilege'), e.g. if they're a solicitor

Workers who aren't employees can't claim unfair dismissal because of whistleblowing, but they are protected and can claim 'detrimental treatment'.

5.10 Tribunals

Workers dismissed for whistleblowing can go to an employment tribunal or an industrial tribunal in Northern Ireland.

If the tribunal decides the employee has been unfairly dismissed, it will order that they are:

- reinstated (get their job back)
- paid compensation

A tribunal judge can reduce any compensation awarded by 25% if they find the person has acted dishonestly.

A whistleblower who is bullied at work will also be able to bring a claim to the employment tribunal against their employer or colleagues.

6. 2018/19 Whistleblowing Reports

In 2018/19, there were 33 cases reported under the whistleblowing arrangements for Shropshire Council. Details on the allegations received and outcome are shown below. Of those 33, 6 were relating to employees. 18 resulted in ‘No case to answer’ and 10 resulted in ‘not enough evidence to proceed or ‘dealt with under another policy’.

2018/19 Whistleblowing Reports

Route in	Allegation	Procedure used	Outcome
Verbal	Running a business and completing DIY when supposed to be at work.	No Investigation	Not enough information to investigate
Verbal	Contract dispute	Management Investigation	NCTA ¹
Verbal	Housing allocation	Management Investigation	NCTA
Verbal	Breach of Smoking Policy	Management Investigation	No formal sanction
Written	Housing allocation	No Investigation	Dealt with as complaint
Written	Inappropriate use of funds	Audit Investigation	NCTA
Written	Land sale corruption	Management Investigation	NCTA
Written	Grant misuse	Audit Investigation	NCTA for Shropshire Council (SC)
Written	Grant misuse	Audit Investigation	NCTA for SC
Verbal	Time abuse	Audit Investigation	Employee Dismissed
Verbal	Data breach	Audit Investigation	Dismissed
Written	Drinking whilst on call	Management Investigation	NCTA
Written	Fraudulent use of home address	Person referred to the Police.	NCTA
Verbal	Safeguarding concern	No investigation	Passed onto

¹ NCTA No case to answer

Route in	Allegation	Procedure used	Outcome
			safeguarding
Verbal	Not paying for printing	Employee was not Shropshire Council's	NCTA
Verbal	Data breach	Audit Investigation	Employee dismissed and reinstated
Verbal	Fraud	Management Investigation	NCTA
Written	Personal data request	No investigation	Passed to FOI ²
Verbal	Benefit fraud	No investigation	Passed to SFIS ³
Verbal	Housing allocation	Management Investigation	NCTA
Written	Planning officer collusion	Management review	NCTA
Written	Missed call	No investigation	NCTA
Verbal	Telephone fraud	Audit Investigation	NCTA for SC
Verbal.	Planning application fraud	Management Investigation	NCTA
Written	Charity fraud	Details passed to Police via Action Fraud	NCTA for SC
Verbal	Hoax call	No Investigation	NCTA
Written	Planning issue	No Investigation	Dealt with as complaint
Verbal	Benefit fraud	No investigation	Passed to SFIS
Written	Safeguarding concern	No investigation	Passed onto safeguarding
Written	Pot holes	No Investigation	Dealt with as complaint
Written	Misuse of direct payment	Management Investigation	Funds recovered
Verbal	Theft	Management Investigation	Resigned
Written	Theft	Management Investigation	NCTA

¹ NCTA No case to answer

² FOI -Freedom of Information

³ SFIS – Single Fraud Investigation Service (Department of Work and Pensions)

7. Comparison to previous years

7.1 We have seen a 51% increase in number of incidents reported than in the preceding years. In 2017/18 the majority of those allegations were relating to finance abuse and fraud. This year we have seen a variety of different type of concerns from fraud, pot holes to housing allocations.

7. Conclusion

7.1 The 'Speaking up about Wrongdoing' process forms a key element of the Council's Corporate Governance arrangements and is continuing to be a route

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³ SFIS – Single Fraud Investigation Service (Department of Work and Pensions)

employees use to raise concerns, as well as a route which is also open to elected members, contractors, partners and others.

List of background papers (This MUST be completed for all reports but does not include items containing exempt or confidential information) – None

Cabinet Member (Portfolio Holder) Peter Nutting (Leader of the Council) and Peter Adams (Chair of Audit Committee)

Local Member- N/A
