



## Whistleblowing Policy Guidance

Plymouth  
City Council

Internal Audit  
Corporate Resources

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## **Overview**

The Chief Auditor has overall responsibility for the maintenance and operation of the Whistleblowing Policy. This includes monitoring the policy and maintaining a record of the concerns raised and the outcomes, which will be reported to the Audit Committee as necessary in an anonymised format.

With effect from September 2008, the Chief Auditor will contact each School on a six monthly basis to obtain details of whistleblowing instances arising in the preceding six month period. Each School will be required to return the attached Appendix B and if appropriate Appendices C and D for each case that has arisen.

However, in accordance with the Whistleblowing Policy, should the Headteacher, Chair of Governors, Governor Development Officer or Director of Children's Services have concerns raised with them they must notify Internal Audit immediately, if the concern / allegation involves either potential fraudulent practice or activity that could result in a financial loss to the Authority.

In the above instances notification should be made to the Chief Auditor immediately by completion of Appendix C, which can be emailed to [internal.audit@plymouth.gov.uk](mailto:internal.audit@plymouth.gov.uk) or sent via the internal post to **Internal Audit, 4<sup>th</sup> Floor Midland House (marked Private & Confidential)**.

Should you have any queries or require further guidance, please telephone Internal Audit on (30) 6712 or (30) 6711.

## **Taking Details From a Whistleblower**

When taking details from a whistleblower, it helps to obtain as much information as possible from the outset.

Record the date and time of the telephone call or conversation, along with the whistleblower's name and their position within the organisation.

Be responsive to the whistleblower and encourage them to voice all of their concerns, however trivial you may initially think they are.

Obtain as much detail as possible about who is involved.

Get as much information as you can about what is going on. Establish how the whistleblower became aware of the situation.

Find out about where the activity took place.

Find out if this is a one-off occurrence or if it is ongoing.

Try and encourage them to speak to you again, you may need more information. Agree a day and time they can phone you if they do not wish to give a contact number.

## **Remember**

***Who      What      When      Where***

**An aide-memoire (checklist) to assist you can be found overleaf at Appendix A.**

**Aide-Memoire for Taking Details from a Whistleblower**

**Record date and time of telephone call / conversation:**

**Gain as much information about the whistleblower as you can:-**

Name;  
Contact telephone number;  
Department;  
Job title;  
Place of work;

**Establish the reason for their concern:-**

Obtain as much information as possible about what is going on;  
How did they become aware of this matter?  
Have they had first hand knowledge or is the information via someone else (hearsay)?  
Have they kept any records of incidents, times, dates, places etc?

**Find out who is involved:-**

Get as much information about the person(s) involved;  
Council employees / employees of Council contractors / members of the public?  
Name(s) or even nickname(s)?  
Job titles?  
Description (including clothing / uniform)?  
Description / registration details of any vehicle(s) involved?

**Ask when did the irregularity occur / concern arise:-**

Does the whistleblower think this matter is a one-off or is it ongoing?  
Is there any particular time of day / month / year this occurs?

**Ask where the irregularity took place:-**

Get as much information as possible about any locations involved, such as,  
  
Location / address?  
Is it a work / other location?  
Are records or stores kept?  
What are the home addresses of persons involved?  
Have vehicles been seen?

Are vehicles garaged or kept?

**Ask how you can verify the information provided:-**

Are there any records or documents that will corroborate what you have told me?

Does anyone else know what is going on?

Have you reported it previously to anyone else, if yes, what happened?

**Finally encourage them to telephone back (if they are anonymous) or you telephone them – you may need more information.**

**Notification of Whistleblowing Allegations / Outcomes**

**6 Monthly Return**

**From dd/mm/yyyy To dd/mm/yyyy**

**From** Chief Auditor **Date**

**To**

**1.** How many whistleblowing allegations have been received during the above period?

*Please attach an Appendix C form for each allegation received. Please note that if an Appendix C has already been submitted prior to this return it is not necessary to submit a copy.*

**2.** Of the allegations received, have there been any outcomes reached? (this may apply to allegations received prior to the above period)

**Yes / No** (*delete as appropriate*)

*If yes, please attach an Appendix D form for each outcome reached. Please note that if an Appendix D has already been submitted prior to this return it is not necessary to submit a copy.*

**Please return this form and any appropriate attachments to the Chief Auditor by**

**Return electronically to [internal.audit@plymouth.gov.uk](mailto:internal.audit@plymouth.gov.uk) or via the internal post to Internal Audit, 4<sup>th</sup> Floor, Midland House (marked Private & Confidential)**

## Notification of Concern Raised by Whistleblower

**To** Chief Auditor **Date**

**From**

I have received an allegation under the Council's Whistleblowing Policy and am notifying you of the following details

The Whistleblower requested to remain anonymous? Yes / No (*delete as appropriate*)

(*if No*)

Employee's name

Department

Job title

Date allegation received

Summary of allegation



## Whistleblowing Outcome

**To** Chief Auditor **Date**

**From**

Further to my notification dated *(insert as appropriate)*, the allegation has now been fully considered and I can confirm the following.

In accordance with the Whistleblowing Policy an acknowledgement was issued within 10 working days Yes / No *(delete as appropriate)*

*(if yes, copy of acknowledgement to be attached)*

Allegation investigated? Yes / No *(delete as appropriate)*

Reason, if not investigated

Summary of investigation, findings and any action taken