1. Introduction

Derbyshire Police Authority as a public body has a duty to conduct its affairs in a responsible and transparent way and to take account of the requirements of its funding bodies for the proper use of public funds and of the standards required in public life.

The Public Interest Disclosure Act 1998 which came into effect on 2 July 1999 protects workers against detriment or dismissal for raising concerns about certain matters of public interest (1) and encourages the resolution of problems within the workplace.

This Policy is designed to allow Police Authority Staff and Members to raise, at a high level, concerns or information which they believe in good faith provides evidence of malpractice or impropriety. Individuals discovering apparent evidence of malpractice, impropriety or wrongdoing within the Authority should feel able to disclose the information appropriately, without fear of reprisal. This Policy and Procedure sets out how such disclosures should be made, and how cases will be dealt with by the Authority.

A person making a disclosure in good faith, without malice, and in line with this Policy will not be penalised for doing so.

This policy is intended to be used to raise matters of general concern in the public interest.

2. External Disclosures

To avoid possible prejudice to any internal investigation process, a disclosure should not normally be made to external bodies before it is raised through the internal mechanisms set out in this policy.

However, under the Act, in certain limited circumstances (2) an individual making a disclosure to an external body relating to one of the matters covered in the Public Interest Disclosure Act 1998, may be protected from detriment or dismissal.

3. Purpose of the Policy

The purpose of the policy is:

- To enable individuals to raise concerns within the organisation without fear of reprisals/victimisation.
- To provide a process for concerns to be raised, investigated and where appropriate acted upon.
• To give a clear message that allegations of malpractice/impropriety are taken seriously within the Authority.
• To act as a deterrent to potential perpetrators of misconduct.
• To strengthen the confidence of all interested parties (Police Authority Staff and Members) that the Authority maintains the highest standards of conduct.

4. Matters Covered

This policy is designed to be used to raise serious concerns which are in the public interest. Examples of serious misconduct, impropriety or malpractice which may prompt such a disclosure are:

• Criminal Activity
• Failure to comply with legal obligations
• Miscarriage of Justice
• Endangering of Health and Safety
• Financial and non-financial maladministration, malpractice or fraud
• Serious failure to comply with the Statutes, and Regulations governing the Police Authority
• Evidence of academic or professional malpractice
• Failure of an individual/s to disclose a serious conflict of interest
• Attempts to suppress or conceal information relating to any of the above.

This procedure is not designed to be used:

• to reconsider any matters already addressed under any other internal procedures for example complaints or disciplinary and grievance procedures.
• by individuals to challenge financial and business decisions properly taken by the Authority.

5. Confidentiality

All disclosures under this Policy will be treated in a confidential and sensitive manner. If required, the identity of the person raising the matter will be kept confidential for as long as possible provided that this is compatible with an effective investigation. The investigation process may however at some stage have to reveal the sources of the information and the individual making the disclosure may need to make a statement as part of the evidence required.

6. Anonymous Disclosures

Individuals are encouraged to put their name to any disclosure they make since part of the purpose of this policy is to promote openness and discourage a fear of reprisals. Disclosures raised anonymously are far less capable of being addressed effectively but may be considered after taking into account the seriousness of the issue, the credibility of the disclosure, the likelihood of
being able to investigate the matter and confirm the allegation from alternative sources, and fairness to any individual mentioned in the disclosure.

Any individual wishing to make a disclosure orally or to give further details as the matter is investigated may be accompanied by another person of his or her choice.

7. Procedure for Making a Disclosure

Any relevant disclosure should initially be made to the persons designated by the Authority to receive such disclosures. These “designated persons” are the Chief Executive and the Treasurer as appropriate. If the disclosure involves or implicates the Chief Executive or the Treasurer then it should be made to the Deputy Chief Executive and/or the Chair of the Police Authority as appropriate. The Chair of the Authority should be advised when such a disclosure is made.

The designated person to whom the disclosure has been made will consider the matters disclosed, and, if there are grounds for proceeding further will:

- decide whether an investigation should be conducted;
- determine what form the investigation should take;
- appoint a relevant person to carry out the investigation.

If the designated person decides that there are not grounds for proceeding further, the person making the disclosure will be informed.

As the person conducting the investigation must not be the person who would ultimately take decisions based on the outcomes, the designated person to whom the disclosure has been made will not personally conduct the investigation and will remain separate from it.

Disclosures relating to financial matters will normally be investigated by the Internal Auditor and/or Resources Committee as set out in the Financial Regulations.

When the matter has been investigated the person to whom the disclosure was made will decide whether the matter should be taken further and if so how it should be handled. This may include the initiation of formal procedures within the Authority or reference to an external agency. In any event the outcome will be reported, as appropriate to the Chief Executive/ Deputy Chief Executive, Treasurer, Chair of the Authority and Resources Committee in cases where there are financial considerations.

Reporting of the findings of any investigation will depend on the nature of the disclosures as it is not appropriate to be prescriptive as to the correct level of reporting in every case.

This policy does not remove the right of individuals to invoke the relevant statutory procedures.

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8. Individuals Named in a Disclosure

When an allegation is made against a named individual s/he will be informed of the allegation and supporting evidence. The point at which this occurs will depend on the specific nature of the case. S/he will be given an opportunity to respond either in writing or orally and, if interviewed about the matter, will be given an opportunity to be accompanied by a person of his/her choice.

9. Unfounded Disclosures

A disclosure made in good faith which is not confirmed by subsequent investigation will not lead to any action against the person making the disclosure. Individuals making disclosures which are found by subsequent investigation to be malicious and/or vexatious may be subject to disciplinary or other appropriate action.

10. Victimisation

Victimisation of a member of staff or Member of the Authority who has made a disclosure under this policy, may provide grounds for grievance, disciplinary or other appropriate action.

11. Timescales

Investigations will be conducted as speedily as possible having regard to the nature and complexity of the disclosure.

12. Feedback throughout the Process

The person making the disclosure will be kept informed as to the handling of the matter and of decisions taken throughout the process.

13. Records

All concerns raised and actions taken in response to disclosures will be recorded, and reports on all disclosures and investigations will be retained by the designated person for 5 years.

An official written record will be kept of each stage of the procedure.

14. Review of Policy

The implementation of this Policy will be kept under regular review.
Footnotes

(1) criminal activity, failure to comply with a legal obligation, miscarriage of justice, endangering of Health and Safety, damage to the environment, attempts to suppress or conceal information relating to any of these.

(2) S/he reasonably believes s/he will be subjected to detriment by the employer, or, that it is likely that evidence will be concealed/destroyed if disclosed to the employer, or, s/he has previously made substantially the same disclosure to his/her employer, or it is if an exceptionally serious nature and in all the circumstances it is reasonable for him/her to make the disclosure, and that s/he is making the disclosure in good faith, reasonably believing it to be true and does not make it for personal gain (Precis of Act)

For Independent advice/assistance please contact Public Concern at Work, an independent non-statutory charitable body that's provides advice to individuals with concerns about malpractice. There contact details are :-

Public Concern at Work
Suite 301
16 Baldwin Gardens
London
EC1N 7RJ

www.pcau.co.uk

E Mail : whistle@pcaw.co.uk
Tel : 020 7404 6609