



Whistle Blowing Policy

January 2021

Review Process

Policy review frequency:

This policy will be reviewed every 2 years

Responsible for review:

This policy will be reviewed by: Chrysalis Executive Board

Version Control

Version	Date approved:	Next review date:	Author / Title:
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1. Purpose

- 1.1 Chrysalis Supported Association Limited (CSA Ltd) is committed to the highest possible standards of openness, probity, transparency and accountability. All Employees, Board members and Contractors will conduct themselves with integrity, trust and fairness.
- 1.2 This policy has been produced in accordance with the Public Interest Disclosure Act 1998 (PIDA), which protects colleagues and workers making disclosures about certain matters of concern (where those disclosures are made in accordance with the provisions of the Act) from dismissal or a detriment short of dismissal.
- 1.3 The policy is intended to encourage and enable Board members, staff and contractors to raise serious concerns within CSA Ltd rather than overlooking a problem or feeling they need to report the concern externally.
- 1.4 It sets out CSA Ltd's approach to dealing with concerns raised by staff, Board members and Contractors about any aspect of our work.
- 1.5 A whistleblower is a person who raises a concern about a wrongdoing occurring in an organisation. Whistleblowing occurs when a member of staff and/or Board member or Contractor raises serious concerns and/or provides certain types of information, usually to the employer or a regulator which has come to their attention through work.

2. Legal and Regulatory responsibilities (not exhaustive)

- Public Interest Disclosure Act 1998 and 2013 Guidance
- Data Protection Act 1998
- General Data Protection Regulation (GDPR)

3. Scope

- 3.1 This policy applies to all Board members, employees and Contractors operating within and for CSA Ltd.
- 3.2 There are existing procedures in place to enable staff to lodge a grievance relating to their own employment. The Whistleblowing policy is intended to cover major concerns that fall outside the scope of other procedures.

4. Policy statement

- 4.1 CSA Ltd will listen to all concerns, investigate further if necessary and protect individuals against reprisals, bullying or victimisation for speaking out.
- 4.2 At CSA Ltd, openness and accountability inform everything we do. From time to time however, individuals may have concerns about performance, working practices, actions we propose to take or actions we have already taken.
- 4.3 Concerns raised may be about:
 - theft, fraud, corruption or malpractice;

- actual or potential criminal offences;
- failure to comply with a legal obligation – such as those relating to health & safety;
- failure to deliver proper standards of service;
- denial of a service due to discrimination of any sort
- damaging personal conflicts at senior level;
- the sexual physical or psychological abuse of clients;
- bullying, harassment, discrimination or victimisation in the workplace;
- failure to abide by CSA Ltd's policies and procedures;
- conflicts arising between personal interests and those of CSA Ltd;
- improper use of CSA Ltd funds or personal monies belonging to service users;
- damage to the environment; or
- anything else relating to unethical conduct

4.4 If the concern can't be addressed using the disciplinary, grievance or other processes, then individuals can use this Whistleblowing (Confidential Reporting) Policy to express their concern confidentially.

4.5 CSA Ltd will:

- investigate all legitimate concerns;
- pursue fraud and serious abuse via our disciplinary procedures or through the courts if necessary; and
- report all thefts and fraud to the Police.
- remain committed to supporting colleagues who raise legitimate concerns;
- treat it as disciplinary offence if any colleague discourages another from coming forward to express a concern;
- deal severely with anyone who criticises, bullies, harasses or victimises an individual after a concern has been raised.

5. Responsibilities

- 5.1 All Board members, Employees and Contractors are required to promptly report any issue of concern regarding any aspect of CSA Ltd's business activities. In the majority of cases, this will be done through the usual board and management arrangements.
- 5.2 To use the confidential reporting process, an individual is not required to 'prove' the truth of any allegation, but will be expected to demonstrate that there are reasonable grounds for the concern. They will also be expected to co-operate with any investigation that takes place.

6. How to Raise Concerns

- 6.1 Concerns should normally be raised in writing and forwarded to the Managing Director. This may, however, depend on the seriousness and sensitivity of the issues involved and who is thought to be involved in the alleged wrongdoing or malpractice. If the matter concerns the Managing Director, then the whistle-blower may forward details of the concerns to the Chair of the Board.
- 6.2 Concerns should be raised in writing without undue delay setting out the background and history of the concern, giving names, dates and places where possible, and the reason for the individual's concern.

7. How CSA Ltd will respond

- 7.1 The action taken by CSA Ltd will depend on the nature of the concern. The matters raised may:
 - be investigated by management, internal audit, or through the disciplinary/grievance process
 - be referred to the police
 - be referred to the external auditor
 - form the subject of an independent inquiry
- 7.2 In order to protect individuals and CSA Ltd, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take.
- 7.3 Concerns or allegations which fall within the scope of specific procedures (for example discrimination issues) will normally be referred for consideration under those procedures. Some concerns may be resolved by agreed action within the need for investigation.
- 7.4 If urgent action is required this will be taken before any investigation is conducted. The amount of contact between the individual investigating/considering the issues and the complainant will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided.
- 7.5 Within 10 working days of a concern being received, the Managing Director will write to the whistleblower:
 - acknowledging that the concern has been received;
 - indicating how he/she proposes to deal with the matter;
 - giving an estimate of how long it will take to provide a final response;
 - informing whether any initial enquiries have been made, and what further investigations will take place, if any
- 7.6 CSA Ltd will take steps to minimise any difficulties which the whistleblower may experience as a result of raising a concern. For instance, if it becomes necessary to give evidence in criminal or disciplinary proceedings, CSA Ltd will provide the necessary advice about the procedure and give whatever practical support that is possible. Where possible whistleblowers will receive feedback about the outcomes of any investigations.

8. Taking the Concerns Externally

- 8.1 This policy is intended to provide individuals with an avenue to raise concerns within CSA Ltd. There may be circumstances where a whistleblower considers it necessary to raise the matter externally. This may be because, for example, there is a need to involve the appropriate external regulatory body, or where the complainant considers that the matter has not been properly addressed, or believes it will be covered up.
- 8.2 If an individual believes that such a course of action is necessary, the following are possible contact points:
- Relevant professional bodies or regulator, e.g. RSH
 - Trade union
 - Solicitor
 - Police
- 8.3 If an individual is unsure whether or how to raise a concern or wants confidential advice, contact can be made with the independent charity Public Concern at Work (a whistleblowing charity) on 020 7404 6609 or at helpline@pcaw.co.uk. Their lawyers can provide free confidential advice on how to raise a concern about serious malpractice at work.

9. Policy Monitoring and Review

- 9.1 The Managing Director has overall responsibility for the operation of this Policy. A record of all concerns raised, and the outcomes will be maintained. The Managing Director will report to the Board at least annually on the operation of the Policy.
- 9.2 This policy will be reviewed every two years.



Chrysalis is a Registered Society under the Co-operative and Community Benefit Societies Act 2014, with registered number 29818R, set up for the benefit of the community as a not for profit organisation, regulated by the Financial Conduct Authority (FCA) and is also a Non-Profit Private Registered Provider of Social Housing Registered Number: 4751, Regulated by The Regulator of Social Housing (RSH). CSA are members of the Housing Ombudsman and subscribe to their standards of complaints management and fair practice procedures for all tenants. Registered Office 3 Brook Office Park, Emersons Green, Bristol BS16 7FL.