WHISTLEBLOWING POLICY

Controlled document

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<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Version</td>
<td>3</td>
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<tr>
<td>Author</td>
<td>Head of Group Projects</td>
</tr>
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<tr>
<td>Committee/individual responsible</td>
<td>Integrated Governance Leadership Team</td>
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<td>April 2012</td>
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<tr>
<td>Target audience</td>
<td>All staff</td>
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1. Introduction
All of us at one time or another experience concerns about what is happening at work. Usually these are easily resolved. However, when the concern feels serious because it is about patient or service user welfare, clinical malpractice, health and safety or a possible fraud that might affect others or the organisation itself, it can be difficult to know what to do.

You may be worried about raising such a concern and may think it best to keep it to yourself, perhaps feeling it’s none of your business or that it’s only a suspicion. You may feel that raising the matter would be disloyal to colleagues, managers or to the organisation. You may decide to say something but find that you have spoken to the wrong person or raised the issue in the wrong way and are not sure what to do next.

The Directors of Care UK are committed to running the organisation in the best way possible and to do so we need your help. This policy is designed to reassure you that it is safe and acceptable to speak up and to enable you to raise any concern you may have about the issues mentioned above at an early stage and in the right way. Rather than wait for proof, we would prefer you to raise the matter when it is still a concern.

This policy applies to all those who work for us; whether full-time or part-time, self-employed contractor, as an agency worker or as a volunteer. If you have a whistleblowing concern, please let us know.

If something is troubling you that you think we should know about or look into, please use this policy. If, however, you wish to make a complaint about your employment or how you have been treated, please use the following Care UK documents:

- Dignity at Work Policy
- Equality Policy
- Diversity Policy
- Grievance Policy
- Anti-Corruption Policy

These are all located on Eureka via the ‘Whistleblowing’ pages or they can be obtained from your manager or human resources department.

This Whistleblowing Policy is primarily for concerns where the interests of others or of the organisation itself are at risk.

If in doubt – please raise it!
2. Our Assurances To You

2.1. Your safety
The Directors are committed to this policy. If you raise a genuine concern under this policy, you will not be at risk of losing your job or suffering any form of retribution as a result. Provided you are acting in good faith (or honestly), it does not matter if you are mistaken. Of course we cannot extend this assurance to someone who maliciously raises a matter they know is untrue.

2.2. Your confidence
With these assurances, we hope you will raise your concern openly. However, we recognise that there may be circumstances when you would prefer to speak to someone in confidence first. If this is the case, please say so at the outset. If you ask us not to disclose your identity, we will not do so without your consent unless required by law. You should understand that there may be times when we are unable to resolve a concern without revealing your identity, for example, where your personal evidence is essential. In such cases, we will discuss with you whether and how the matter can best proceed.

Please remember that if you do not tell us who you are it will be much more difficult for us to look into the matter. We will not be able to protect your position or to give you feedback. Accordingly, you should not assume we can provide the assurances we offer in the same way if you report a concern anonymously.

If you are unsure about raising a concern you can get independent advice from Public Concern at Work (see contact details under Independent Advice).

3. How To Raise A Concern
Please remember that you do not need to have firm evidence of malpractice before raising a concern. However, we do ask that you explain as fully as you can the information or circumstances that gave rise to your concern.

3.1. Step one: Your manager
If you have a concern about malpractice, we hope you will feel able to raise it first with your manager or team leader. This may be done verbally or in writing.
3.2. Step two: Divisional contacts
If you feel unable to raise the matter with your manager, for whatever reason, please raise the matter with:

<table>
<thead>
<tr>
<th>Division</th>
<th>Name of Designated Officer</th>
<th>Contact Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residential Care Services</td>
<td>Frances Gibson</td>
<td>M: 07733 304933</td>
</tr>
<tr>
<td></td>
<td>Director of Nursing, Clinical &amp; Care Governance</td>
<td><a href="mailto:frances.gibson@careuk.com">frances.gibson@careuk.com</a></td>
</tr>
<tr>
<td>Community Services:</td>
<td>Donna Cousins</td>
<td>M: 07867 527158</td>
</tr>
<tr>
<td></td>
<td>Head of Quality Audit and Compliance</td>
<td><a href="mailto:donna.cousins@careuk.com">donna.cousins@careuk.com</a></td>
</tr>
<tr>
<td>Mental Health</td>
<td>Alison Rose-Quirie</td>
<td>M: 07733 898922</td>
</tr>
<tr>
<td></td>
<td>Managing Director</td>
<td><a href="mailto:alison.rose-quirie@careuk.com">alison.rose-quirie@careuk.com</a></td>
</tr>
<tr>
<td>Health Care</td>
<td>Susan Marshall</td>
<td>T: 0118 952 1920</td>
</tr>
<tr>
<td></td>
<td>Director of Integrated Governance</td>
<td>M: 07771 965219</td>
</tr>
<tr>
<td></td>
<td></td>
<td><a href="mailto:susan.marshall@careuk.com">susan.marshall@careuk.com</a></td>
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These people have been given special responsibility and training in dealing with whistleblowing concerns.

If you want to raise the matter in confidence, please say so at the outset so that appropriate arrangements can be made.

3.3. Step three: Group contacts
If these channels have been followed and you still have concerns, or if you feel that the matter is so serious that you cannot discuss it with any of the above, please contact:

<table>
<thead>
<tr>
<th>Name</th>
<th>Contact Details</th>
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</thead>
<tbody>
<tr>
<td>Natalie Breen</td>
<td>Mobile: 07918 741055</td>
</tr>
<tr>
<td>Group Human Resources Manager</td>
<td><a href="mailto:natalie.breen@careuk.com">natalie.breen@careuk.com</a></td>
</tr>
<tr>
<td>Richard Laurence</td>
<td>Telephone: 01206 517445</td>
</tr>
<tr>
<td>Head of Group Projects</td>
<td>Mobile: 07971 082804</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:richard.laurence@careuk.com">richard.laurence@careuk.com</a></td>
</tr>
<tr>
<td>Glyn Parry</td>
<td>Telephone: 01206 517285</td>
</tr>
<tr>
<td>Group Finance Manager</td>
<td><a href="mailto:glyn.parry@careuk.com">glyn.parry@careuk.com</a></td>
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</table>
4. Independent Advice

If you are unsure whether to use this policy or you want confidential advice at any stage, you may contact the independent charity Public Concern at Work on 0808 168 0225 or by email at advice33@pcaw.co.uk. They can talk you through your options and help you raise a concern about malpractice at work.

www.pca.co.uk

5. How We Will Handle The Matter

Once you have told us of your concern, we will assess it and consider what action may be appropriate. This may involve an informal review, an internal inquiry or a more formal investigation. We will tell you who will be handling the matter, how you can contact them, what further assistance we may need from you and agree a timetable for feedback. If you ask, we will write to you summarising your concern and setting out how we propose to handle it. If we have misunderstood the concern or there is any information missing please let us know.

When you raise the concern it will be helpful to know how you think the matter might best be resolved. If you have any personal interest in the matter, we do ask that you tell us at the outset. If we think your concern falls more properly within our grievance, bullying and harassment or other relevant procedure, we will let you know.

Whenever possible, we will give you feedback on the outcome of any investigation. Please note, however, that we may not be able to tell you about the precise actions we take where this would infringe a duty of confidence we owe to another person.

While we cannot guarantee that we will respond to all matters in the way that you might wish, we will strive to handle the matter fairly and properly. By using this policy you will help us to achieve this.

6. External Contacts

While we hope this policy gives you the reassurance you need to raise your concern internally with us, we recognise that there may be circumstances where you can properly report a concern to an outside body. In fact, we would rather you raised a matter with the appropriate regulator – such as those listed in the table below – than not at all. Public Concern at Work will be able to advise you on such an option if you wish.
<table>
<thead>
<tr>
<th>Regulator</th>
<th>Contact Details</th>
</tr>
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</table>
| **Care Quality Commission**: regulates adult social and health care in England http://www.cqc.org.uk/contact-us | Care Quality Commission  
Citygate  
Gallowgate  
Newcastle upon Tyne  
NE1 4PA  
Phone: 03000 616161  
Email: enquiries@cqc.org.uk |
| **Ofsted**: regulates education and care services for children and young people http://www.ofsted.gov.uk/contact-us/whistleblower-hotline | Ofsted  
Piccadilly Gate  
Store Street  
Manchester  
M1 2WD  
Phone: 0300 123 3155  
Email: whistleblowing@ofsted.gov.uk |
| **Health and Safety Executive**: is to protect people against risks to health or safety arising out of work activities http://www.hse.gov.uk/contact/workplace-complaints.htm | HSE Complaints and Advisory Team on:  
0300 0031647 in office hours |
| **Care Inspectorate** (Scotland): matters relating to care children’s services in Scotland http://tinyurl.com/6v44t9f | Care Inspectorate (Scotland)  
Compass House  
11 Riverside Drive  
Dundee  
DD1 4NY  
Email: enquiries@careinspectorate.com  
Telephone: 0845 600 9527 |
| **Mental Welfare Commission for Scotland**: regulates services for service users with mental illnesses or learning disabilities in Scotland http://tinyurl.com/7sf8axu | Thistle House  
91 Haymarket Terrace  
Edinburgh  
EH12 5 HE  
Service user & carer freephone:  
0800 389 6809 (Monday - Thursday 9am to 5pm; Friday 9am to 4.30pm)  
Email: enquiries@mwcsot.org.uk |
| **Scottish Social Services Council**: matters relating to the registration of social services workforce in Scotland | Scottish Social Services Council  
Compass House  
11 Riverside Drive  
Dundee  
DD1 4NY  
Email: enquiries@sssc.uk.com  
Telephone: 0845 60 30 891 |
| **Care and Social Services Inspectorate Wales**: regulates children’s and social care services in Wales | CSSIW  
Welsh Government  
Rhodycar Business Park  
Merthyr Tydfil  
CF48 1UZ  
Telephone: 0300 062 8800  
Email: cssiw@wales.gsi.gov.uk |
Or if there is a complaint against a person who is a member of a professional body, you could inform:

<table>
<thead>
<tr>
<th>Regulator</th>
<th>Contact Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Nursing and Midwifery Council</strong></td>
<td>Nursing &amp; Midwifery Council 1st Floor 61 Aldwych London WC2B 4AE General enquiries: 020 7637 7181 Registration enquiries: 020 7333 9333 Professional advice: 020 7333 6550 Fitness to practise: 020 7462 5800 / 5801 Email: <a href="mailto:advice@nmc-uk.org">advice@nmc-uk.org</a></td>
</tr>
<tr>
<td><strong>General Medical Council</strong></td>
<td>General Medical Council Euston Tower Regents Place, London NW1 3JN Telephone: 0161 923 6602 Email: <a href="mailto:practise@gmc-uk.org">practise@gmc-uk.org</a></td>
</tr>
<tr>
<td><strong>Health Professions Council</strong></td>
<td>Health Professions Council Park House 184 Kennington Park Road London SE11 4BU Telephone: 0800 328 4218, Email: <a href="mailto:ftp@hpc-uk.org">ftp@hpc-uk.org</a></td>
</tr>
</tbody>
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7. **Non Whistleblowing Issues**
As noted above, whistleblowing is the raising of a concern where others, or the organisation itself, are at risk. However, should you wish to raise an issue that concerns yourself there are a number of ways that you can do this.

7.1. **HR Policies**
Care UK has the following documents that you should refer to:
- Dignity at Work Policy
- Equality Policy
- Diversity Policy
- Grievance Policy
- Anti-Corruption Policy

These policies are available on Eureka, from your manager or from your human resources department.

7.2. **Employee Assistance Programme**
Care UK subscribes to an employee assistance helpline run by PPC. Should you have personal issues such as a personal or family crisis, illness, retirement issues, getting married or managing money problems, then PPC can offer expert advice, invaluable information, specialist counselling and support.
You can contact PPC 24 hours a day, 7 days a week on 0800 282193 or via their website at www.ppconline.info.

7.3. Contact the Chief Executive
Should you have a comment or question you wish to ask the Chief Executive, you can send it to the Chief Executive, Mike Parish, via the ‘Oi Mike’ forum on Eureka. Your line manager will be able to help you if you don't have access to Eureka.

Oi Mike is not a confidential or anonymous method for raising concerns and should not be used for whistleblowing or raising other confidential matters.

8. Monitoring And Oversight
The Integrated Governance Leadership Team is responsible for this policy and will review it annually. The Head of Group Projects will monitor the daily operation of the policy and if you have any comments or questions, please do not hesitate to let them know.