

**Cambridgeshire Primary Care Trust
Raising Issues of Serious Concern at Work
(Whistleblowing) Policy & Procedure**

Agreed by Trust JCNP: March 2008
Adopted by Trust Board: March 2008
Revised:
Reviewed

Cambridgeshire Primary Care Trust

Raising Issues of Serious Concern at Work (Whistleblowing) Policy and Procedures

1 Introduction

All workers at one time or another have concerns about what is happening at work. Usually these concerns are easily resolved. However, when they are about unlawful conduct, financial malpractice or dangers to the public or the environment, it can be difficult to know what to do.

The worker may be worried about raising such issues or may want to keep the concerns to themselves, perhaps feeling it's none of their business or that it's only a suspicion. They may feel that raising the matter would be disloyal to colleagues, managers or to the organisation. They may also fear harassment or victimisation. In these circumstances, it may be easier to ignore the concern rather than report what may just be a suspicion of malpractice. They may decide to say something but find that they have spoken to the wrong person or raised the issue in the wrong way and are not sure what to do next.

Cambridgeshire PCT (hereinafter referred to as The Trust) has introduced this policy to enable workers to raise their concerns about such malpractice at an early stage and in the right way. The Trust would rather that the matter is raised when it is just a concern rather than wait for proof and possibly endanger the safety of patients or members of the public. The Secretary of State has also issued codes of business conduct emphasising the need for openness and probity in the NHS, and this policy also contributes to sound clinical governance.

If something is troubling a worker that they think the Trust should know about or look into, then this procedure should be followed. This policy is primarily for concerns where the interests of others, or of the organisation itself, are at risk.

If the worker is aggrieved about their personal position, e.g. conditions of service, then the Grievance Procedure, or Equality and Dignity at Work Procedure, should be used depending on the nature/seriousness of the complaint. This is obtainable from management or Human Resources.

Concerns raised by workers, as or on behalf of, a service user should be addressed via the Trusts' Complaints Procedure. In exceptional circumstances, where the complaint involves a number of service users, or the service user is unable/willing to make the complaint personally, this Policy may be followed.

This policy adheres to the Public Interest Disclosure Act 1998 (a summary of which is attached as Appendix 1) and HSC 1999/198 'Whistleblowing in the NHS'

If in doubt – raise it

2 Types of Concerns this Policy Covers

This policy provides protection for workers who raise genuine concerns about malpractice, that is: crime, failure to comply with any legal duty (e.g. negligence, breach of contract), a miscarriage of justice, danger to health and safety or the environment and the attempt to cover up these issues. Examples may include fraud and corruption, abuse of patients/service users including sexualised behaviour or unsafe practices. This applies whether or not the information is confidential.

3 Objective

The aim of this policy and associated procedure is to establish an internal mechanism that will encourage and enable workers to raise a genuine concern as listed above, in confidence and without fear of reprisals, to ensure that the Trust continues to improve its services and provides best value.

4 Procedure

4.1 Introduction

These procedures have been developed to ensure that an internal mechanism exists for dealing with concerns raised by workers that are considered “protected disclosures” under the Public Interest Disclosure Act 1998, and provides a systematic process to be followed when making and/or investigating such a disclosure. This process is in line with the Employment Act 2002 (Dispute Resolution) Regulations 2004.

Procedures for reporting and investigating ‘whistleblowing’ concerns ensure that:

- avenues exist for workers to raise concerns internally as a matter of course, and receive feedback on any action taken;
- concerns are taken seriously and dealt with quickly and appropriately
- workers are reassured that they will be protected from reprisals or victimisation for whistleblowing in good faith;
- workers can take the matter further if they are dissatisfied with the Trusts’ response;
- issues raised are addressed via other procedures as appropriate, e.g. anti-fraud and corruption, grievance, disciplinary, health & safety, harassment, child protection and adult abuse procedures; and
- appropriate records are maintained for monitoring purposes.

4.2 How the Trust will handle the matter

Once the Trust has been told of a concern, it will look into it to assess initially what action should be taken. This may involve an internal inquiry or a more formal investigation and a manager not involved in the cause of concern will be appointed to do this. This manager will be responsible for investigating the matter, determining whether other bodies should be notified (e.g. auditors, or a prescribed regulator – see Appendix 2) and reporting to the relevant Director. The worker raising the concern will be told who is handling the matter, how they can contact them and whether their further assistance may

be needed. The worker will be written to summarising their concern and setting out how the Trust proposes to handle it, if the worker requests this. The worker will be given initial feedback on action to be taken within 24 hours, and again within 2 weeks of raising the concern if an investigation is needed.

When a concern is raised the worker may be asked how they think the matter might be best resolved. If they have any personal interest in the matter, the Trust would like to be told at the outset. If the concern falls more properly within the Grievance Procedure the worker will be told.

While the purpose of this policy is to enable the Trust to investigate possible malpractice and take appropriate steps to deal with it, the worker will be given as much feedback as possible. If requested, the response can be confirmed in writing. However, the Trust may not be able to tell of the precise action taken where this would infringe a duty of confidence owed by the Trust to someone else.

4.3 How to raise a concern internally

Before blowing the whistle, workers should use supervision sessions, team meetings and other opportunities to raise questions and seek clarification on issues that concern them. Please note that how we deal with cases are split into those that concern a suspicion of fraud and those that do not. It is important that the process outlined below are followed carefully

SUSPECTED FRAUD CASES

- **Step ONE – FRAUD Cases only**

In cases where fraud and/or corruption are suspected, concerns MUST only be discussed with the Director of Finance or the Local Counter Fraud Service, NOT your line manager. In cases where the issue concerns the Director of Finance please contact the Chief Executive. Please see the Trusts Fraud Policy which must be followed in these cases <http://www.cambridgeshirepct.nhs.uk/default.asp?id=725>

ALL OTHER CASES

- **Step one**

If a worker has a concern about malpractice, the Trust hopes they will feel able to raise it first with their manager. However, should the area of concern involve the workers line manager then the concern could be raised with a more senior manager. This may be done orally or in writing.

In order to ensure that all concerns are recorded and being handled properly, the record form in Appendix 4 should be completed.

Alternatively, they may wish to raise the matter with a member of the Human Resources Team in the first instance, who will take them through their options for disclosure, or contact a Staff Side representative or other source for advice (see Appendix 3).

- **Step two**

If the worker does wish to raise the matter formally but feels unable to raise it with their manager, for whatever reason, please raise the matter with:

Assistant Director Corporate Services
Heron Court
Ida Darwin
Fulbourn
Cambridge
CB21 5EE

Tel: 01223 885833

The worker should say if they want to raise the matter in confidence so that appropriate arrangements can be made.

- **Step three**

If these channels have been followed and the worker still has concerns, or if they feel that the matter is so serious that they cannot discuss it with any of the above, they should contact:

Chief Executive
Cambridgeshire PCT
Heron Court
Ida Darwin
Fulbourn
Cambridge
CB21 5EE

Tel: 01223 884896

4.4 The Trust's Response to a Concern

The action taken by the Trust will depend on the nature of the concern. The matters* raised may:

- be investigated internally by an appropriate manager, e.g. H&S Adviser;
- be referred to the Police;
- be referred to the counter fraud officer
- be referred to the external Auditor; and/or
- form the subject of an independent inquiry.

**All issues will be referred to the Assistant Director Corporate Services and Human Resources Team for record keeping/monitoring purposes.*

Support and Protection

'Blowing the whistle' can be difficult and stressful. Managers will ensure that they do their best to protect the identity of the worker raising the concern and that he/she is not subjected to harassment or victimisation from others.

Workers will be given the contact details of people who can offer support and advice, e.g. HR Advisers, trade union representatives and will be offered access to the 24 hour Staff Counselling Service. The current provider of this service is Oakdale and the free phone number is 0800 027 7844. These calls will be free from NHS phone lines and many others but mobile phone providers may charge the user for making calls.

Initial Enquiries

In order to protect individuals and the Trust, initial enquiries, (usually involving a meeting with the individual raising the concern), will be made to decide whether an investigation is appropriate and, if so, what form it should take. Normally concerns or allegations that raise issues that fall within the scope of other policies/procedures, (e.g. child protection, health & safety or discrimination issues), will be addressed under those procedures.

Some concerns may be resolved at this initial stage simply, by agreed action or an explanation regarding the concern, without the need for further investigation.

Investigation

The appropriate manager will investigate the concerns thoroughly, ensuring that a written response can be provided **within ten working days**.

The response should include details of how the matter was investigated, conclusions drawn from the investigation, and whom to contact should the worker be unhappy with the response and wish to raise the matter externally.

If the investigation cannot be completed within the timescale above, the worker should receive a response that indicates:

- progress to date;
- how the matter is being dealt with; and
- how long it will take to provide a final response.

Copies of all correspondence should be sent to the Assistant Director Corporate Services and Human Resources Team for record keeping/monitoring purposes.

Unfounded Allegations

If a worker makes an allegation in good faith, but it is not confirmed by the investigation, no action will be taken against that worker as long as the Whistleblowing procedure has been followed.

Following investigation, if an allegation is confirmed as unfounded this should be notified to the worker who raised the concern, who will be informed that the Trust deems the matter to be concluded and that it should not be raised again unless new evidence becomes available.

5 Independent Advice

Further advice and assistance is available from the Human Resources Team. In addition Appendix 3 lists recognised persons/organisations that a worker can contact if they are unsure whether to use this policy, want independent

advice at any stage, or are not satisfied with the Trust's response to a whistleblowing disclosure.

6 External Disclosures

The emphasis of this policy is to encourage workers to raise their concerns internally both as the quickest way to resolve the concerns and to provide protection in law to individuals. Whilst the Trust hopes that this policy gives workers the reassurance they need to raise such matters internally, it recognises that there may be circumstances where a worker can properly report matters to outside bodies, such as prescribed regulators and authorities (see Appendix 2). If a worker chooses to make a disclosure to an outside body, they must have an honest and reasonable suspicion that malpractice has occurred, is occurring or is likely to occur, and must believe the information to be substantially true.

Although there are several steps for internal disclosure set out above, in exceptional circumstances wider disclosures, such as to the police, media or MPs may be justified. The worker will be protected under law from making such disclosures if they meet the above criteria, have not made the disclosure for personal gain and have first raised the concern with the Trust or a prescribed regulator. The only exception to this is if they believe they would be victimised if they did, there is no prescribed regulator and they reasonably believe there would be a cover up or if the matter is exceptionally serious.

The charity 'Public Concern at Work' or trade union will be able to advise on such an option and on the circumstances in which a worker may be able to contact an outside body safely.

If a worker chooses to take a concern outside the Trust, it is his/her responsibility to ensure that confidential information is not disclosed, ie. confidential information, in whatever format, must not be handed over to a third party. If clarification is required on this, the advice of the Solicitor to the Trust should be taken.

7 Individuals Covered

All 'workers' in the Trust are covered. This includes NHS Professionals staff (previously referred to as bank staff) along with agency staff, locum staff, contractors, volunteers and trainees, independent consultants, home workers, trainees on work experience programmes where the training is provided under a contract of employment and self employed professionals. The usual employment law restrictions on minimum qualifying periods do not apply, which means that everyone is covered, regardless of length of service in the Trust.

The responsibility for expressing concerns about unacceptable practice or behaviour rests with **all** workers, and under the Trusts' Health and Safety Policy workers are expected to raise concerns about potential health and safety risks.

8 The Trusts' Assurances

8.1 Assurance of the Board and Chief Executive

The Board and Chief Executive are committed to this policy. If a genuine concern under this policy is raised the worker will not be at risk of losing their job or suffering any form of retribution as a result. Provided they act in good faith, i.e., that they have an honest and reasonable suspicion that malpractice has occurred, is occurring or is likely to occur, it will not lead to disciplinary action being taken. In these circumstances, the Trust will also indemnify against any civil action taken against them by an individual they have identified under this policy. Detering anyone from using the policy, bullying, isolating or otherwise victimising anyone who uses the policy in good faith, and concealing or destroying information about malpractice are also disciplinary offences. Appropriate advice and support will be made available to workers who raise concerns.

8.2 Confidentiality

The Trust will not tolerate the harassment or victimisation of anyone raising a genuine concern. However, the Trust recognises that a worker may nonetheless want to raise a concern in confidence under this policy. If the worker asks for protection of their identity by keeping their confidence, the Trust will not disclose it without their consent. If the situation arises where the Trust is unable to resolve the concern without revealing the identity of the worker (for instance because evidence is needed in court), the Trust will discuss it with them.

If a worker does not tell the Trust who they are, it will be much more difficult for the Trust to look into the matter or to protect their position or to give them feedback. Accordingly, while the Trust will consider anonymous reports, this policy is not appropriate for concerns raised anonymously. Anonymous allegations will be investigated at the discretion of the Trust after an assessment has been made of the nature and seriousness of the concerns, and the ability of the Trust to substantiate the allegations from other attributable sources.

9 If the Whistleblower is Dissatisfied

If the worker is unhappy with the Trusts' response, they can go to the other levels and bodies detailed in this Policy. While the Trust cannot guarantee that they will respond to all matters in the way that the worker might wish, they will try to handle the matter fairly and properly. By using this policy, the whistleblower will help to achieve this.

10 Protection of Vulnerable Adults (POVA)

If the concern relates to the possible abuse of vulnerable adults the Trusts Policy on POVA must be adhered to.

11 Monitoring and Review

The Integrated Governance Committee, Assistant Director Corporate Services, Director of Finance and Human Resources Team will monitor the use and effectiveness of this policy. All concerns raised will be recorded and reported to the committee.

This Policy will be reviewed by the Trust and Joint Staff Council in 3 years, unless an earlier review is required e.g. due to changes in legislation, NHS directions or in the Trust.

Human Resources Department

Appendix 1

Raising Issues of Serious Concern at Work (Whistleblowing) Policy and Procedure

Summary of Public Interest Disclosure Act 1998

Introduction

This Act, which came into force on 2 July 1999, provides statutory protection for 'workers' who make a 'qualifying disclosure' through one of the 'specified methods' for disclosure. This summary provides basic definitions and an outline of the terms of the Act.

Worker

Under the Act the definition of a worker includes employees, agency workers and third party contractors whose work is basically controlled by the alleged employer.

Qualifying Disclosure

A qualifying disclosure means any disclosure of information that, in the reasonable belief of the worker making the disclosure, tends to show one or more of the following:

- that a criminal offence has been committed, is being committed or is likely to be committed;
- that a person has failed, is failing or is likely to fail to comply with any legal obligation to which he/she is subject;
- that a miscarriage of justice has occurred, is occurring or is likely to occur;
- that the health and safety of any individual has been, is being or is likely to be endangered;
- that the environment has been, or is being or is likely to be damaged; and/or
- that information tending to show any matter falling within any one of the above points has been, is being or is likely to be deliberately concealed.

In order to count as a qualifying disclosure it does not matter whether the perceived malpractice was in the past, is in the present or will be in the future.

Specified Methods of Disclosure

In order to qualify for protection under the Act the worker must have made his/her qualifying disclosure in one of the following ways:

- in good faith to his/her employer or to a third party named in the employer's whistle-blowing procedure as a recognised external contact in such cases;
- in the course of obtaining legal advice;
- in good faith to a Minister of the Crown, where the worker's employer has been appointed by a Minister, e.g. NHS trust;
- in good faith to a 'prescribed person' - the details of these bodies/people and the matters in respect of which they are prescribed are contained in the Public Interest Disclosure (Prescribed Persons) Order 1999;

AND

- in exceptional circumstances the above means can be bypassed and the disclosure made to another person/organisation where the worker can show that the disclosure is made in good faith, is of an exceptionally serious nature, is not made for the purposes of personal gain and it was not reasonable in the circumstances to use the above means of disclosure.

Protection

Where a worker has made a protected disclosure and he/she is dismissed or subjected to any other detriment as a result of the disclosure, this will be unlawful. Compensation for unfair dismissal, where appropriate, will be calculated in accordance with the Public Interest Disclosure (Compensation) Regulations 1999.

Exceptions

A disclosure will not qualify for protection under the Act if:

- the person making the disclosure commits an offence by making it, e.g. breaches the Official Secrets Act; OR
- it is a disclosure in respect of which legal professional privilege would apply; OR
- the disclosure is not appropriately made through one of the specified methods for disclosure.

Appendix 2

Raising Issues of Serious Concern at Work (Whistleblowing) Policy and Procedure

List of Prescribed Authorities and Regulatory Organisations

Audit Commission for England and Wales (incl. auditors appointed by the Commission)

Matters in respect of which the person is prescribed:

The proper conduct of public business, value for money, fraud and corruption in local government and health service bodies.

1st Floor
Millbank Tower
Millbank
London
SW1P 4HQ

Telephone: 020 7828 1212

Fax: 020 7976 6187

Email: enquiries@audit-commission.gov.uk

Web page: <http://www.audit-commission.gov.uk>

Chief Executive of the Criminal Cases Review Commission

Matters in respect of which the person is prescribes:

Actual or potential miscarriages of justice.

Criminal Cases Review Commission
Alpha Tower
Suffolk Street
Queensway
Birmingham
B1 1TT.

Tel: 0121 633 1800

Fax: 0121 633 1804

E-mail: ccrc@gtnet.gov.uk

Web Page: www.ccrcc.gov.uk

Her Majesty's Revenue and Customs

Matters in respect of which the person is prescribes:

Value added tax, insurance premium tax, excise duties and landfill tax. The import and export of prohibited or restricted goods.

HM Revenue and Customs
HMRC National Advice Service
Written Enquiries Section
Southend on Sea

Alexander House
Victoria Avenue
Southend
Essex
SS99 1BD

Email: enquiries.lon@hmce.gsi.gov.uk

Web page: www.hmrc.gov.uk

Her Majesty's Commissioners of the Inland Revenue

Matters in respect of which the person is prescribed:

Income tax, corporation tax, capital gains tax, petroleum revenue tax, inheritance tax, stamp duties, national insurance contributions, statutory maternity pay and statutory sick pay.

There are a huge variety of telephone numbers for the Inland Revenue. The web page has details of them

E-mail: none

Web page: www.hmrc.gov.uk

Controller and Auditor General of the National Audit Office

Matters in respect of which the person is prescribed:

The proper conduct of public business, value for money, fraud and corruption in relation to the provision of centrally funded public services.

The Comptroller and Auditor General
National Audit Office
157 – 197 Buckingham Palace Road
Victoria
London
SW1W 9SP.

Tel: 020 7798 7999

E-mail: enquiries@audit-commission.gov.uk

Web page: <http://www.audit-commission.gov.uk>

Data Protection Register

Matters in respect of which the person is prescribed:

Compliance with the requirements of legislation relating to data protection (Data Protection legislation regulates the processing of information relating to individuals, including the obtaining, holding, use or disclosure of such information).

The Office of the Data Protection Register
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF.

Tel: 01625 545700
Fax: 01626 524510

E-mail: data@wycliffe.demon.co.uk
Web-site www.informationcommisoner.gov.uk

The Director of the Serious Fraud Office

Matters in respect of which the person is prescribed:
Serious or complex fraud.

The Director of the Serious Fraud Office
Elm House
10 – 16 Elm Street
London
WC1X 0BJ.

Tel: 020 7239 7272
Fax: 020 7837 1689

E-mail: none
Web-site: www.sfo.gov.uk

Department of Health Fraud Unit

Directorate of Counter Fraud Services
Room 715
Elephant & Castle
London
SE1 6TE.
Tel: 020 7972 2501
Fax: 0207 972 2550

Email: dcfs@doh.gsi.gov.uk
Web-site www.doh.gov.uk/dcfs

The Environment Agency

Matters in respect of which the person is prescribed:
Acts or omissions which have an actual or potential effect on the environment or the management or regulation of the environment including those relating to pollution, abstraction of water, flooding, the flow of rivers, inland fisheries and migratory salmon or trout.

The Environment Agency
Rio House
Waterside House
Aztec West
Almondsbury
Bristol
BS12 4UD.

Tel: 0800 807060 (24 hour line) or enquiries 08708 506506
E-mail: none

Web-site: www.environment-agency.gov.uk

Health and Safety Executive

Matters in respect of which the person is prescribed:

Matters which may affect the health or safety of any individual at work,
matters which may affect the health and safety of any member of the public
arising out of, or in connection with, the activities of persons at work.

Health and Safety Executive
6 – 8 Stuart Street
Luton
Beds
CU1 2SJ

Tel: 01582 444200

Fax: 01582 444320

E-mail: none

Web-site: www.hse.gov.uk

Cambridgeshire County Council (the local authority which under the Health & Safety At Work Act 1974 is responsible for the enforcement of the relevant statutory provisions)

Matters in respect of which the person is prescribed:

Matters which may affect the health or safety of any individual at work;
matters which may affect the health and safety of any member of the public
arising out of, or in connection with, the activities of persons at work.

Cambridgeshire County Council
Shire Hall
Castle Hill
Cambridge
CB3 0AP.

Tel: 01223 717111

Fax: 01223 717201

E-mail: none

Web page: www.camcnty.gov.uk/

The Occupational Pensions Regulatory Authority

Matters in respect of which the person is prescribed:

Matters relating to occupational pension schemes and other private pension
arrangements.

The Occupational Pensions Regulatory Authority
Napier House
Trafalgar Place
Brighton
BN1 4DW

Tel: 01273 811800

Fax: 01273 627688

E-mail: customersupport@thepensionsregulator.gov.uk

Web-site: www.opra.gov.uk

The Social Care Council

Matters relating to the registration of social care workers under the Care Standards Act 2000.

London Office

General Social Care Council

Goldings house

2 Hay's Lane

London

SE1 2HB

General information

Tel. 020 7397 5100 (switchboard)

Tel. 020 7397 5800 (information line – open from 10am to 12pm, and 2pm to 4pm, Monday to Friday)

Fax. 020 7397 5101

E-mail: Info@gsc.org.uk

Web page: www.gsc.org.uk/

Commission for Social Care Inspection

Matters relating to the provision of regulated care services, as defined in the Care Standards Act 2000.

National Care Standards Commission

St Nicholas Building

St Nicholas Street

Newcastle upon Tyne

NE1 1NB

Tel. 0191 233 3600

Fax. 0191 233 3569

Web-site: www.csci.org

E-mail: enquiries@ncsc.gsi.gov.uk

Standards Board for England

Matters relating to compliance with the Members' Code of Conduct.

The Standards Board for England

Cottons Centre

Cottons Lane

London

SE1 2QG

Tel. 0845 078 8181

Web-site: www.standardsboard.co.uk

Email: Referrals@standardsboard.co.uk

Healthcare Commission

1ST Floor
Finsbury Tower
103 – 105 Bunhill Row
London
EC1Y 8TG

Tel: (020) 7448 9200
Fax: (020) 7448 9222

Web-site: www.healthcarecommission.org.uk
E-mail: feedback@healthcarecommission.org.uk

Commission for Patient and Public Involvement in Health (CPPIH)

East of England Region
Ground Floor
Block 7
Westbrook Centre
Cams
CB4 1YG

Tel: (01223) 633900
Fax: (01223) 633906

Web-site: www.cppih.org
E-mail: enquirieseeo@cppih.org

Appendix 3

Raising Issues of Serious Concern at Work (Whistleblowing) Policy and Procedure

List of possible sources of advice:

1. The registered charity '**Public Concern at Work**' (tel. **020 7404 6609**) can be contacted for advice to assist a worker in raising concerns about poor practice at work. The charity also provides advice to employers as to the possible ways to address these concerns.

Web page: www.pcaw.co.uk

2. Human Resources Team have details of **Registered Trade Unions/ Professional Associations** which can be contacted.

3. **Citizens Advice Bureau;**
To find your local office please use the telephone directory or use the web site below.

Web page: www.citizensadvice.org.uk/

4. A **solicitor** or other **legal adviser**
5. The **Royal Colleges of Health**
6. **Nursing and Midwifery Council (NMC)**
NMC
23 Portland Place
London
W1B 1PZ

Main switchboard: 020 7637 7181

Main fax: 020 7436 2924

E-mail: communications@nmc-uk.org

Web Page: www.ukcc.org.uk

7. **Health Professions Council (HPC)**
Park House,
184 Kennington Park Road,
London, SE11 4BU

Tel: 020 7582 0866

E-mail: no email

Web page: www.hpc-uk.org

8. **General Medical Council (GMC)**
178 Great Portland Street,
London
W1W 5JE

Tel: 020 7580 7642

E-mail: gmc@gmc-uk.org
Web Page: www.gmc-uk.org

9. The **Mental Health Commission** (for concerns about patients detained under the Mental Health Act 1983)
Maid Marian House
56, Hounds Gate
Nottingham
NG1 6BG

Tel: 0115 943 7100
Fax: 0115 943 7101

E-mail: ChiefExec@mhac.trent.nhs.uk
Web page: www.mhac.trent.nhs.uk

10. The **Health Service Commissioner** (The Ombudsman) (for complaints made by workers on behalf of patients).

The Parliamentary and Health Service Ombudsman
Millbank Tower,
Millbank,
London
SW1P 4QP

Tel: 020 7217 4051

E-mail: OPCA.Enquiries@ombudsman.gsi.gov.uk
Web Page: www.ombudsman.org.uk

11. **Member of Parliament**
To find details of your local MP please use the telephone directory or use the web site below.

Web site: www.annecampbell.org.uk/frame

12. **Secretary of State for Health**
Secretary of State for Health
Department of Health
Richmond House
79 Whitehall
London SW1A 2NL

11.1 Tel: 0207 210 4850

E-mail: dhmail@doh.gsi.gov.uk

Web page: www.dh.gov.uk

13. NHS Fraud & Corruption Reporting line (tel. 020 7972 2505)

Tel: 020 7972 2505

E-mail: no email

Web site: www.number-10.gov.uk/output/Page1426.asp

Appendix 4

Raising Issues of Serious Concern at Work
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FORM FOR RECORDING CONCERNS

Please complete this form when raising a matter of concern under this Policy.

1. Name:

(If you wish to remain anonymous, please discuss this with the person to whom you are making the disclosure).

2. Contact details (home/work address and telephone number):

3. Any relevant background and history to the concern:

4. Details of the concern (include names, dates and places if possible):

5. Why particularly concerned about situation:

6. Proposed changes (what would you like to happen):

Signature: Date:

Please pass this form to the person to whom you are making the disclosure

Appendix 5

Raising Issues of Serious Concern at Work
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WHISTLEBLOWING CASES TRACKING FORM

WHISTLEBLOWER'S NAME*: (initials or case number acceptable to maintain anonymity)		JOB TITLE*:	
LOCATION*: (* complete only where employee agrees)		DATE CONCERN RAISED:	
Nature of Complaint (Please summarise the details)			
Agreed Action (Please provide details of nature/format of investigation and name of investigating manager)			
Outcome (Please provide details of findings of investigation and any action resulting, e.g. disciplinary)			
Date Response Sent to Whistleblower		Signed	
		Print Name	
		Date	
Once completed please pass a copy of this form in an envelope marked CONFIDENTIAL, to both your HR Adviser and the Assistant Director Services.			

If you have any queries about whistleblowing allegations not answered by the Whistleblowing Policy and Procedure, please contact your HR Adviser.