



## **WHISTLEBLOWING POLICY**

### **How to report a concern about malpractice, wrong-doing or fraud in the workplace**

#### **1. INTRODUCTION**

- 1.1 In line with other public bodies, the University of Worcester has a duty to conduct its affairs in a responsible way and to demonstrate the highest standards of openness, honesty and integrity.
- 1.2 All organisations face the risk of malpractice within the workplace, or of unknowingly harbouring illegal or unethical conduct. Encouraging a culture of openness where staff feel able to raise concerns and to speak out about suspected wrong-doing or malpractice is essential in ensuring we maintain the highest standards of management, governance and accountability at all times.
- 1.3 The aim of this policy is to provide staff with guidance on the concerns that can be raised under whistleblowing procedures and to provide an overview of the process that will be followed once a concern has been raised.
- 1.4 By using the Whistleblowing policy, we can ensure that your concern is handled fairly and in the appropriate manner.
- 1.5 The procedures outlined below are reflective of current legislation and recognise the importance of staff feeling able to raise genuine and legitimate concerns without being subject to disciplinary sanctions or victimisation provided that they do so lawfully, without malice and in the public interest.

#### **2. ARRANGEMENTS AND PRINCIPLES**

- 2.1 The arrangements set out in this policy should assist you in reporting concerns about suspected wrongdoing or dangers at work (often referred to as “whistleblowing”), such as:
  - criminal activity
  - financial malpractice, mismanagement or fraud
  - improper or unauthorised use of public or other funds
  - failure to comply with a legal obligation
  - miscarriages of justice
  - danger to the health and safety of any individual
  - damage to the environment
  - concerns regarding the safeguarding of children or vulnerable adults
  - conduct likely to cause serious damage to the University’s reputation
  - concerns regarding unethical conduct
  - concerns about bribery or corruption
  - unauthorised disclosure of confidential information
  - an attempt to deliberately conceal any of the above

**APPROVED:** 13th March 2017 **APPROVAL BODY:** Board of Governors, HR Committee  
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- 2.2 If you have any genuine concerns related to suspected wrongdoing or danger affecting any of the University's activities you should report it under this policy.
- 2.3 If you are unsure whether something is within the scope of this policy you should seek advice from your line manager (if appropriate) or one of the individuals listed in the table below.
- 2.4 This policy aims to encourage staff to report suspected wrongdoing as soon as possible and to ensure that staff feel confident that they can raise any genuine concern without fear of reprisals, even if they turn out to be mistaken, in the knowledge that it will be taken seriously, investigated as appropriate and treated confidentially.
- 2.5 It applies to all employees irrespective of the nature of their contract as well as other individuals who perform work for the University (e.g. agency workers, contractors, home workers, volunteers, interns, trainees, individuals on work experience). If you are in any doubt as to whether you are covered by the policy, please contact any of the individuals listed in the table below.
- 2.6 This policy does not form part of any employee's contract of employment and we may amend it at any time.
- 2.7 Please note that this policy is not applicable in circumstances where your concern is about your personal position, such as the way you have been treated at work. In these cases, the University's Grievance or Bullying and Harassment policies are more likely to be relevant and we would encourage you to seek further advice from your line manager or a member of the HR team if you are unclear.

### **3. STAFF RESPONSIBLE FOR THE POLICY AND ITS ARRANGEMENTS**

- 3.1 The Director of Human Resources and University Counsel have day-to-day operational responsibility for this policy, and should ensure that processes are in place for managers and other staff who may deal with concerns or investigations under this policy to receive regular and appropriate training.
- 3.2 The Director of Human Resources and University Counsel, in conjunction with the Vice-Chancellor and Vice-Chancellor's Advisory Group, should review this policy regularly to ensure that it remains effective and reflective of legal and operational requirements.
- 3.3 All staff are responsible for the success of this policy and are encouraged to act with accountability and to disclose any suspected danger or wrong doing as soon as concerns are raised.

### **4. REPORTING A CONCERN**

#### **Your protection:**

- 4.1 It is understandable when raising a concern under these arrangements, that you may have concerns about possible repercussions. It is important that staff feel able to raise genuine and legitimate concerns and that they feel supported when doing so. The University will not take or tolerate any detrimental treatment towards any member of staff as a result of raising a genuine concern under this policy, even if their concern proves to be mistaken. Detrimental treatment includes dismissal, disciplinary action, threats or other unfavourable treatment connected with raising a concern.

- 4.2 When considering raising a concern under this policy, you may disclose the information to a trade union adviser in the course of seeking advice about matters of disclosure. A Trade Union Adviser will treat any matters raised in confidence so far as is consistent with legal responsibilities.
- 4.3 If you believe that you have suffered any detrimental treatment as a result of raising a concern under this policy, you should report this to your line manager (if appropriate), or one of the individuals listed in the table below.
- 4.4 Staff are encouraged to use this policy to raise genuine and legitimate concerns. However it is also possible that this policy could be used to make false and malicious allegations. If, following further investigation, an individual is found to have made false allegations maliciously or with a view to personal gain, they may be subject to disciplinary action under the University's disciplinary procedure.
- 4.5 If you are involved with any detrimental treatment towards somebody raising a concern under this policy, or attempt to deter somebody from raising a legitimate concern about malpractice, this will be regarded as a serious offence and you may be subject to disciplinary action under the University's disciplinary procedure.

**Your confidence:**

- 4.6 Through using this policy, staff should feel able to raise any concern openly. However, we recognise that there may be circumstances when you would prefer to speak or raise a concern with someone in confidence.
- 4.7 When raising a concern, the process will be discussed with you and every effort will be made to protect your identity should you wish. All steps will be taken to maintain confidentiality as far as is consistent with progressing the matter and our legal obligations.
- 4.8 In some circumstances, it may not be possible to resolve a concern without revealing your identity, for example, where your personal evidence is essential in legal proceedings. In such circumstances you will be contacted in advance of your identity being disclosed.
- 4.9 In addition, where there is evidence of criminal activity, the police will normally be informed.

**5. ANONYMOUS ALLEGATIONS**

- 5.1 We do not encourage staff to make disclosures anonymously. In such circumstances, it may be more difficult to investigate the concern fully, to protect the individual from reprisal, to establish whether any allegations are credible and to give feedback at the end of the process.
- 5.2 The University will, however, need to satisfy itself that any serious anonymous allegations are investigated thoroughly, as far as is reasonably practicable based upon the facts and the information disclosed anonymously.

**6. HOW TO RAISE YOUR CONCERN**

Step 1: Contact your line manager

- 6.1 If you have a concern, you are encouraged to raise it with your line manager in the first instance. You may do this orally or in writing. You should state the facts of the matter clearly and provide

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any information that may help inform any investigation. If you have a direct or personal interest in the matter, this should be highlighted at this stage. If you are writing, please remember to give details of how you would like to be contacted.

6.2 In some cases, your line manager may refer the matter to Human Resources.

6.3 If it is not appropriate for you to raise your concern with your line manager then please use one of the alternative internal contacts.

#### Step 2: Alternative internal contacts

6.4 Where the matter is more serious, or you feel unable to raise the matter with your line manager, you should contact the Director of Human Resources or the University Counsel. Where the matter relates to the Vice Chancellor or a member of the Board of Governors you should contact the Clerk to the Board of Governors.

6.5 In the event that you are unsure whether you should raise an issue under this policy or you need advice as to how to do so, free confidential advice and support is also available from Public Concern at Work (contact details below). Public Concern At Work is a charity with the objective of promoting compliance with the law and best practice. Their website ([www.pcaw.co.uk](http://www.pcaw.co.uk)) is a useful resource for finding out more about raising concerns.

Adele Cope Director of Human Resources	Telephone: 01905 855066 Email: <a href="mailto:a.cope@worc.ac.uk">a.cope@worc.ac.uk</a>
Sian Stroud University Counsel	Telephone: 01905 855015 Email: <a href="mailto:s.stroud@worc.ac.uk">s.stroud@worc.ac.uk</a>
For concerns relating to the Vice Chancellor or the Board of Governors:  Simone Clarke	Telephone: 01905 855013 Email: <a href="mailto:simone.clarke@worc.ac.uk">simone.clarke@worc.ac.uk</a>
Public Concern at Work (Independent Whistleblowing Charity)	Helpline: 020 7404 6609 Email: <a href="mailto:whistle@pcaw.org.uk">whistle@pcaw.org.uk</a> <a href="http://www.pcaw.org.uk">www.pcaw.org.uk</a>

6.6 You may also seek advice from your union, if you are a member, or from an independent legal adviser.

## **7. HOW WE WILL HANDLE YOUR CONCERN**

7.1 Once you have raised a concern under this policy, a decision will be made regarding the most appropriate action. If your concern falls more properly under another university policy (e.g. Staff Disciplinary Procedure, Grievance or Bullying and Harassment), we will tell you and take your concern forward under the appropriate policy, if appropriate.

7.2 When your reported concerns fall under this policy, your concerns will be investigated and you will be advised:

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- who is handling the matter and how you can contact him or her;
- if further assistance is needed from you (this may include a meeting with you to discuss your concern); and
- if you request, we will write to you with a summary of your concern and an outline of how we propose to handle it.

7.3 You may bring a colleague or union representative to any meetings under this policy. Your companion must respect the confidentiality of your disclosure and any subsequent investigation.

7.4 It is a matter for the University to determine how to investigate the concern and who should conduct the investigation, and this will depend on the individual circumstances of the case. We will keep you informed of the progress of the investigation and its likely timescale as far as practicable. However, the need for confidentiality may prevent us from giving you specific details of the investigation or any action taken as a result. We would expect to be able to advise you when the investigation stage has been completed. In addition, if as a result of the investigation the University introduces a change to its policies or practices then we would expect to be able to inform you of this.

7.5 If you are provided with information about the investigation, you should treat it as confidential.

7.6 If you do not feel that this Policy has been followed appropriately, you may make an appeal in the circumstances set out below. (See Section 8).

## **8. APPEAL PROCESS**

8.1 The grounds for appeal under this Policy are limited to procedural irregularity in the operation of this Policy (ie that the University has unreasonably failed to follow its own procedures) or the emergence of new information which materially impacts on the investigation or the outcome. The purpose of an appeal is not to conduct a re-investigation of whole matter unless it is apparent that the initial investigation was at risk of being fundamentally flawed.

8.2 Notice of appeal must be made in writing to the Clerk to the Governors within 10 working days of receipt of the outcome of the investigation. The Clerk will assess whether the grounds for appeal have been met.

8.3 The Clerk to the Governors will make arrangements for the matter to be reviewed by a person who has not been previously involved in the investigation: this will normally be a more senior post holder and may include members of the Board of Governors as appropriate.

8.4 The Clerk will make arrangements for copies of all relevant documentation to be made available and ensure that all parties are aware of the University's procedures.

8.5 The appeal process will normally be concluded within 2 months of the date of the notice of appeal.

## **9. EXTERNAL DISCLOSURES**

9.1 The aim of this policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the workplace. In most cases you should not find it necessary to alert anyone externally.

- 9.2 The law recognises that in some circumstances it may be appropriate for you to report your concerns to an external body such as a regulator. The University strongly encourages you to seek advice before reporting a concern to anyone external. As mentioned above, the independent charity, Public Concern at Work, operates a confidential helpline. They also have a list of prescribed regulators for reporting certain types of concern and will be able to offer further advice.
- 9.3 Concerns usually relate to the conduct of our staff, but they may sometimes relate to the actions of a third party, such as a customer, supplier or service provider. In some circumstances the law will protect you if you raise the matter with the third party directly. However, we encourage you to report such concerns internally first. You should contact your line manager or one of the other individuals set out in the table above for further guidance.