



## Whistleblowing Policy

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## Policy Statement

The Public Interest Disclosure Act 1998 protects employees who raise legitimate concerns about specified matters from being dismissed by risual or from being subjected to detrimental treatment or victimised by either risual or work colleagues as a result, provided certain criteria are met. The Act makes provision about the kinds of disclosure which may be protected and the circumstances in which disclosures are protected. These rules are therefore intended to comply with the Act by encouraging employees to make disclosures about fraud, misconduct, bribery or other wrongdoing to risual, without fear of reprisal, so that problems can be identified, dealt with and resolved quickly.

risual's policy is to support individuals who raise protected disclosures. Employees must not victimise, subject to detrimental treatment or retaliate against an employee who has made a protected disclosure.

Employees are protected provided they reveal information of the right type (known as a "qualifying disclosure") and they reveal that information to the right person and in the right way (known as making a "protected disclosure").

## Qualifying Disclosures

The law provides protection for individuals who raise legitimate concerns about specified matters. These are called "qualifying disclosures". A qualifying disclosure is one made in the public interest by an individual who has a reasonable belief that:

- a criminal offence, including offences such as theft, fraud or acts of bribery
- a miscarriage of justice
- an act creating risk to Health and Safety
- an act causing damage to the environment
- a breach of any other legal obligation
- concealment of any of the above.

is being, has been, or is likely to be, committed. It is not necessary for the individual to have proof that such an act is being, has been, or is likely to be, committed - a reasonable belief is sufficient. Furthermore, the individual has no responsibility for investigating the matter - it is risual's responsibility to ensure that an investigation takes place.

An individual who makes such a protected disclosure has the right not to be dismissed, subjected to any other detriment, or victimised, because he/she has made a disclosure.

risual encourages employees to raise their concerns under this procedure in the first instance. If an individual is not sure whether or not to raise a concern, he/she should discuss the issue with his/her Line Manager or the HR Department.

## Principles

- Everyone should be aware of the importance of preventing and eliminating wrongdoing at work. risual employees should be watchful for illegal or unethical conduct and report anything of that nature that they become aware of
- Any matter raised under this procedure will be investigated thoroughly, promptly and confidentially, and the outcome of the investigation reported back to the individual who raised the issue
- No individual will be victimised for raising a matter under this procedure. This means that the continued employment and opportunities for future promotion or training of the individual will not be prejudiced because he/she has raised a legitimate concern
- Victimisation of an individual for raising a qualified disclosure will be a disciplinary offence
- If misconduct is discovered as a result of any investigation under this procedure, risual's disciplinary procedure will be used, in addition to any appropriate external measures
- Maliciously making a false allegation is a disciplinary offence
- An instruction to cover up wrongdoing is itself a disciplinary offence. If told not to raise or pursue any concern, even by a person in authority such as a manager, individuals should not agree to remain silent. They should report the matter to a director

This procedure is for disclosures about matters other than a breach of an employee's own contract of employment. If an employee is concerned that his/her own contract has been, or is likely to be, broken, he/she should use the organisation's grievance procedure.

## Procedure

1. In the first instance, and unless the individual reasonably believes his/her line manager to be involved in the wrongdoing, or if for any other reason the does not wish to approach his/her line manager, any concerns should be raised with the individual's line manager. If he/she believes the line manager to be involved, or for any reason does not wish to approach the line manager, then the individual should proceed straight to stage 3.
2. The line manager will arrange an investigation into the matter (either by investigating the matter him/herself or immediately passing the issue to someone in a more senior position). The investigation may involve the individual and other individuals involved giving a written statement. Any investigation will be carried out in accordance with the principles set out above. The individual's statement will be taken into account, and he/she will be asked to comment on any additional evidence obtained. The person who carried out the investigation will then report to the HR Department, who will take any necessary action, including reporting the matter to any appropriate government department or regulatory agency. On conclusion of any investigation, the

individual will be told the outcome of the investigation and what has, or will be, done about it. If no action is to be taken, the reason for this will be explained.

3. If the individual is concerned that his/her line manager is involved in the wrongdoing, has failed to make a proper investigation or has failed to report the outcome of the investigations to the board, he/she should inform the HR Department, who will arrange for another manager to review the investigation carried out, make any necessary enquiries and make his/her own report to the Board as in stage 2 above. If for any other reason the individual does not wish to approach his/her line manager he/she should also in the first instance contact the HR Department. Any approach to the HR Department will be treated with the strictest confidence and the individual's identity will not be disclosed without his/her prior consent.
4. If on conclusion of stages 1, 2 and 3 the individual reasonably believes that the appropriate action has not been taken, he/she should report the matter to the proper authority. The legislation sets out a number of bodies to which qualifying disclosures may be made. These include:

HM Revenue & Customs;

the Financial Conduct Authority (formerly the Financial Services Authority);

the Competition and Markets Authority;

the Health and Safety Executive;

the Environment Agency;

the Independent Police Complaints Commission; and

the Serious Fraud Office.