



risual

Experts in Transformation

Whistleblowing Policy

risual

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Table 1: Version Control

Version	Status	Date	Author	Reviewer	Changes
1.2	Final	05/09/2022	HR	Kate Lincoln	Approved
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Table 2: Approvers

Version Approved	Name	Position	Date
1.2	Kate Lincoln	Director of Corporate Resources	05/09/2022



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1 Policy Statement

The Public Interest Disclosure Act 1998 protects all employees who raise legitimate concerns of 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 of the following to risual:

- fraud
- misconduct
- bribery or
- other wrongdoing

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").

This policy applies to all employees within risual. Malpractice and wrongdoing within the workplace will not be tolerated. This policy aims to support all employees to raise their concerns with the confidence that they will not suffer any detriment for making a disclosure. risual encourage any individual to come forward should they have a concern.



2 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, they should discuss the issue with their Line Manager or the HR Department.



3 Principles

The policy is intended to enable those who are or become aware of wrongdoing in risual that affects another person or service to report their concerns at the earliest opportunity. This is to ensure an investigation can be carried out at the earliest opportunity.

The principles of this policy are:

- 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 their own contract has been, or is likely to be, broken, they should use the organisation's grievance procedure.



4 Procedure

1. In the first instance, and unless the individual reasonably believes their line manager to be involved in the wrongdoing, or if for any other reason the individual does not wish to approach their line manager, any concerns should be raised with the individual's line manager. The individual should raise the concern either by telephone, in writing or in person. The individual should provide the nature of the concern, the full context behind the concern including dates and why it is believed to be true. If the individual 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 themselves 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 they 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 their 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, they should inform the HR Department, who will arrange for another manager to review the investigation carried out, make any necessary enquiries and make their own report to the Board as in stage 2 above. If for any other reason the individual does not wish to approach their line manager, they 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 their prior consent.
4. If on conclusion of stages 1, 2 and 3 the individual reasonably believes that the appropriate action has not been taken, they 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.

If the disclosure has been found to be incorrect, the individual that has made the disclosure will not suffer any detriment, provided they believed in what they were saying.

Please note, any disclosures made by anyone in the organisation in bad faith or in malice will not be tolerated by risual and could lead to disciplinary action being taken.