

# Whistleblowing Policy

15 January 2020

It is important that any fraud, misconduct or wrongdoing by staff or others working on behalf of the charity is reported and properly dealt with. New Ventures Trust (NVT) therefore requires all individuals to raise any concerns that they may have about the conduct of others in the charity or the way in which the organisation is run. This policy sets out the way in which individuals may raise any concerns that they have and how those concerns will be dealt with.

## Background

The Public Interest Disclosure Act 1998 amended the Employment Rights Act 1996 to provide protection for workers who raise legitimate concerns about specified matters in the public interest. These are called "qualifying disclosures". A qualifying disclosure is one made by an employee who has a reasonable belief that

- a criminal offence;
- 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; or
- concealment of any of the above;

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

If a person makes a protected disclosure, they have the right not to be dismissed, subjected to any other detriment, or victimised, because they have made a disclosure. NVT encourages them to raise their concerns under this procedure in the first instance.

## Principles

- Everyone should be aware of the importance of preventing and eliminating wrongdoing at work. Staff and others working on behalf of the charity 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 person who raised the issue.
- No employee or other person working on behalf of the charity 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 worker will not be prejudiced because they have 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 our disciplinary procedure will be used, in addition to any appropriate external measures.
- Maliciously making a false allegation is a disciplinary offence.

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- An instruction to cover up wrongdoing is itself a disciplinary offence. If someone is told not to raise or pursue any concern, even by a person in authority such as a manager, they should not agree to remain silent. They should report the matter to a member of the Board of Trustees.

## Procedure

This procedure is for disclosures about matters other than a breach of a person's own contract of employment, which should be raised via the Complaints Procedure.

**Stage 1:** In the first instance, any concerns should be raised with a member of the Board of Trustees, who will arrange an investigation of the matter. The investigation may involve the person raising the concern and other individuals involved giving a written statement. Any investigation will be carried out in accordance with the principles set out above. The statement will be taken into account, and the person raising the concern will be asked to comment on any additional evidence obtained. The Board Member will take any necessary action, including reporting the matter to other members of the Board of Trustees as appropriate and invoke any disciplinary action required. On conclusion of any investigation, the person raising the concern will be told the outcome and what NVT has done, or proposes to do, about it. If no action is to be taken, the reason for this will be explained.

**Stage 2:** If there is concern that a Board Member is involved in the wrongdoing, has failed to make a proper investigation or has failed to report the outcome of the investigations to the relevant person, the matter should be escalated to other members of the Board of Trustees as appropriate. They will arrange for a review of the investigation to be carried out, make any necessary enquiries and make their own report to the Board.

**Stage 3:** If on conclusion of stages 1 and 2 the person raising the concern reasonably believes that the appropriate action has not been taken, they should report the matter to the relevant body. This includes:

- HM Revenue & Customs
- The Health and Safety Executive
- The Environment Agency
- The Serious Fraud Office
- The Charity Commission
- The Pensions Regulator
- The Information Commissioner
- The Financial Conduct Authority

The full list can be found in The Public Interest Disclosure (Prescribed Persons) Order 2014:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/496899/BIS-16-79-blowing-the-whistle-to-a-prescribed-person.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/496899/BIS-16-79-blowing-the-whistle-to-a-prescribed-person.pdf)

## Data protection

When an individual makes a disclosure, NVT will process any personal data collected in accordance with the data protection policy. Data collected from the point at which the individual makes the report is held securely and accessed by, and disclosed to, individuals only for the purposes of dealing with the disclosure.

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