

**Caius House Whistleblowing Policy:**

1. Applicability of policy to Caius House

This policy applies to workers and employees of all the following entities:

* Caius House Board of Trustees
* Caius House Management
* Caius House Staff
* Volunteers

2. Scope and Purpose of Policy

The purpose of this policy is to allow our employees and workers to raise relevant disclosures without fear of victimisation or other adverse repercussions.

We respect the right of persons other than our staff to raise Whistleblowing disclosures and recognise the importance of doing so in the protection of the public interest. To support the protection of external workers employment rights, external parties should raise their concerns to a Prescribed Person or Body as outlined via the following link:-

[https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-andhttps://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2bodies--2](https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2)

Caius House respects the legal jurisdictions of all countries in which it operates. As such, this policy extends to all of Caius House’s dealings and transactions.

3. Policy statement

Caius House is committed to the highest standards of integrity, openness and probity. Our employment practices foster environments that are free from wrongdoing, malpractice, or corruption.

We follow the Government’s published legal position on who is protected in relation to whistleblowing. In line with the Public Interest Disclosure Act 1998 (The ‘Act’) ‘workers’ are protected if advising us of relevant disclosures relating to matters in the public interest, for example, in relation to serious wrongdoing by an individual that affects the public. Please see Section 1.1 for the definition of a

‘worker’.

4. Location and access to the Policy

The Whistleblowing policy is located as follows:

* Intranet: Staff
* Website

6. Persons responsible for the Policy

* CEO
* Board, through its committee, is responsible for overseeing risk management within Caius House, including risks raised by whistleblowing.

1

Guidance Notes for the whistleblowing Policy

1.1

Who is the Policy for

This policy applies to you if you are a Caius House employee or worker e.g. you’re:

an employee of Caius House; including a trainee, apprentice or volunteer;

a contracted worker working for or on behalf of Caius House.

As Caius House is not a Prescribed Body, we cannot offer protection of employment rights to persons other than our staff. For more information on your rights, we encourage you to seek independent advice. Please see [https://www.gov.uk/whistleblowing.](https://www.gov.uk/whistleblowing)

1.2

Protection and abuse under this Policy

The policy offers protection to Caius House workers who disclose relevant information (as outlined in 1.3 below), provided that the worker reasonably believes that disclosure:

* is made in good faith
* demonstrates that corruption, bad practice or wrongdoing has happened; is highly likely to have happened or is likely to happen
* is disclosed to an appropriate person, as outlined further in this document.

Matters raised in good faith which are subsequently realised as unfounded will continue to be treated as made in good faith.

Any abuse of the policy, or disclosures made with demonstrable malicious or otherwise ill-intent will be treated seriously and may lead to consequential disciplinary action and the imposition of relevant sanctions.

1.3

What we consider to be ‘whistleblowing’

Whistleblowing is a term used when a worker discloses relevant information relating to wrongdoing, bad practice, corruption, malpractice, maladministration and/or the possible covering up of these actions. We consider examples of disclosures to comprise of, but not be limited to:

* a criminal offence (for example fraud or bribery)
* a failure to comply with legal obligations
* a failure to adhere to regulation and/or mandatory documentation
* where a person (including a member of our staff) has committed, is committing or is likely to commit malpractice or maladministration, including but not exclusive to financial malpractice
* any action intended to obfuscate or deceive, particularly but not exclusively relating to actions which has, or may have, resulted in personal and/or financial gain
* health, safety or environmental risks
* concealment of information relating to any of the above.

1.4

Anonymous disclosures

Caius House may consider anonymous disclosures at the discretion of a member of the Executive Team. The following will be taken into account when deciding whether Caius House will consider an anonymous disclosure:

* the seriousness of the concern raised
* the credibility of the concern raised
* the likelihood that we can confirm the allegation from attributable sources.

In all cases, we strongly advise that consideration be given to making the disclosure on a named, confidential basis, under the protection of this policy. Anonymous disclosures are more difficult to investigate and corroborate (as there is no named individual to gain further information from, if required) and anonymous allegations may appear less credible. If an anonymous disclosure is accepted by a member of the Executive Team, we will investigate providing we have enough information. If not, we may log the allegation internally, and may use it for future reference/decision making/actions, if appropriate.

1.5

Confidentiality

Where asked to do so, we will always endeavour to keep the identity of the worker raising a disclosure under this policy confidential. By law and regulation, we may need to release disclosures to:

* the police, fraud prevention agencies or other law enforcement agencies (to investigate or prevent crime, including fraud)
* the courts (in connection with any court proceedings)
* another person to whom we’re required by law to disclose your identity
* relevant regulator(s) (e.g. the regulator(s) who are responsible for the standards of our qualification(s) and products).

2.

Whistleblowing Procedure

2.1

Making a whistleblowing disclosure

Our staff would normally be expected to raise concerns in person with their Line Manager or by contacting the CEO directly. Should the disclosure relate to a member of the Executive Team, disclosures may be made to the Chair of the trustees.

2.2 Information we will need regarding disclosures in all cases

We require as much information as possible in relation to disclosures, for example the details of the alleged incident, including dates and times and the names of the individual(s) involved.

We will need to understand whether other persons (e.g. other staff, learners, centres and/or Awarding Organisations) may have been affected by the incident, as we may be required to inform relevant external parties, such as the police, funding and regulatory agencies and/or our regulator(s).

2.3

Accessing confidential information regarding disclosures

We may need to access confidential information when we consider a disclosure. We will ensure that such information is kept secure and only used for the purposes of an investigation and in line with relevant legislation (e.g. data protection). We will not normally disclose the information to third parties unless required to do so (e.g. required onward disclosure to our regulators; the police and/or other relevant statutory bodies).

3. Responding to a whistleblowing disclosure

3.1

What we will do when we receive a whistleblowing disclosure

The receiving Manager / CEO will:

* Acknowledge receipt of the notification. If your disclosure is made by phone or in person, this will be at the time of the call or discussion. If you made your disclosure in writing, we will acknowledge in writing (which may include by email), normally within five working days of receipt of the disclosure.
* Conduct an initial review of the disclosure and any additional evidence (or confirm internally by email that another relevant staff member is doing so.
* The Manager will inform the CEO on a confidential basis.
* our staff and CEO have not been informed directly.

The initial review will include all reasonable actions required to establish the truth and accuracy of the claims made in the disclosure. This initial review period will usually be complete within ten working days of receipt of the notification.

Following the initial review, a determination will be made by the reviewing staff member as to whether the disclosure will be accepted or rejected. Prior to making this determination, you may be asked for more evidence/information using the contact details you provided to us (if applicable). In this case, you will be informed of any potential impact on timescales. If the disclosure about a staff member is accepted, the receiving team member will inform the staff member of their right to representation and how to access this right. Acceptance of a disclosure made against a staff member may also invoke other relevant internal policies (such as disciplinary procedures). The team member will advise in this regard.

Once made, the determination will be conveyed to you by email by the reviewing manager / CEO. If the disclosure is rejected, you will be informed whether you have any alternative rights, such as the right to raise a complaint under our complaints procedure or grievance policy.

If the disclosure is accepted, you will be informed of how we will fully review the issues raised in the disclosure and of our anticipated timescales. In the main (i.e. unless the case is complex or, for example, requires significant external contact), the timescale to fully review a disclosure and make a determination should not normally be longer than 20 working days. In cases which require escalation to the Executive Team (such as those raising significant, validated concerns about Caius House), the investigating team member will provide a written overall summary with a judgement and any recommendations to an appropriate member of the Executive Team and/or Board member for a decision. This may extend the 20 working day period. We will inform you by email or phone of our revised timescales if this is the case.

Where relevant, we will use staff and/or independent external parties who are independent of the matter concerned in our full review. This review may involve us contacting the parties referenced by you.

We will endeavour to maintain confidentiality during the review. We may inform external relevant parties if applicable; update them as necessary, at key stages of the review and may inform them of the final outcome, including any relevant actions or interventions.

In all cases, the investigating team member will provide you with the decision of the review and an overview summary, usually via email, within 5 working days of the conclusion of the full review.

The summary:

* will not provide the granular elements of the review, including the details of any investigation or outcome(s)
* will provide sufficient information relating to our actions and decisions
* will only be given subject to the need to protect confidentiality.

The review decision is final and there is no right of appeal against the decision. However, if the decision is based on factual inaccuracy or omission, you may then have the right to raise a complaint. Please see section 4 below.

4

Inaccuracies and Complaints

Should you feel that the final review decision in relation to the whistleblowing disclosure is factually incorrect, you can raise a complaint, please refer to our complaints procedure, or our grievance policy, whichever is appropriate. In doing so, you must provide evidence in relation to the stated inaccuracy. Please note, the decision is not factually incorrect merely if you disagree with the outcome; have a differing opinion on the outcome, or desire a different outcome.

| Person(s) with access to policy and or information |  |
| --- | --- |
| All Staff/volunteers as included in the staff handbook. |  |

| Approval Date: January 2023 | Approved by Trustees |
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| Review Date: January 2024 | Approved by CEO |