



**1 MARCH 2017**

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## **WHISTLEBLOWING POLICY**

### **1. ABOUT THIS POLICY**

- 1.1 The London School of Hygiene and Tropical Medicine is committed to conducting our business with honesty and integrity, and we expect all staff to maintain high standards. However, all organisations face the risk of things going wrong from time to time, or of unknowingly harbouring illegal or unethical conduct. A culture of openness and accountability is essential in order to prevent such situations occurring and to address them when they do occur.
- 1.2 The aims of this policy are:
- (a) To encourage staff to report suspected wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected.
  - (b) To provide staff with guidance as to how to raise those concerns.
  - (c) To reassure staff that they should be able to raise genuine concerns without fear of reprisals, even if they turn out to have been mistaken.
- 1.3 This policy covers all employees, officers, of the School including Council members, consultants, contractors, paid interns, casual workers and agency workers.
- 1.4 This policy takes account of the Whistleblowing Arrangements Code of Practice issued by the British Standards Institute and Public Concern at Work. It has been implemented following consultation with the relevant trade unions. This policy does not form part of any employee's contract of employment and it may be amended at any time.

### **2. RESPONSIBILITY FOR THE POLICY**

- 2.1 The Council has overall responsibility for this policy, and for reviewing the effectiveness of actions taken in response to concerns raised under this policy. The Secretary, in conjunction with the Council shall review this policy from a legal and operational perspective at least once a year

- 2.2 The Secretary has day-to-day operational responsibility for this policy, and must ensure that all managers and other staff who may deal with concerns or investigations under this policy receive regular and appropriate training.
- 2.3 All staff are responsible for the success of this policy and should ensure that they use it to disclose any suspected danger or wrongdoing. Staff are invited to comment on this policy and suggest ways in which it might be improved. Comments, suggestions and queries should be addressed to the Secretary.

### 3. WHAT IS WHISTLEBLOWING?

- 3.1 **Whistleblowing** is the disclosure of information which relates to suspected wrongdoing or dangers at work. This may include:
- (a) criminal activity;
  - (b) failure to comply with any legal obligation required of and in the School;
  - (c) miscarriages of justice;
  - (d) danger to health and safety;
  - (e) damage to the environment; and
  - (f) the deliberate concealment of any of the above matters.

Some examples of these are:

- (a) bribery (under the School's Anti-corruption and Bribery Policy);
  - (b) financial fraud or mismanagement;
  - (c) negligence;
  - (d) significant breach of our internal policies and procedures;
  - (e) conduct likely to damage the School's reputation or financial wellbeing;
  - (f) unauthorised disclosure of confidential information;
  - (g) breach of professional conduct or academic fraud;
  - (h) failure to follow required ethical practices, either set out by the School or as observed in the wider academic community;
  - (i) the deliberate concealment of any of the above matters.
- 3.2 A **whistleblower** is a person who raises a genuine concern relating to any of the above. If you have any genuine concerns related to suspected wrongdoing or danger affecting any of our activities (a **whistleblowing concern**) you should report it under this policy.
- 3.3 This policy should not be used for complaints relating to your own personal circumstances, such as the way you have been treated at work. In those cases you should use the Grievance Procedure or Anti-harassment and Bullying Policy as appropriate.

3.4 If you are uncertain whether something is within the scope of this policy you should seek advice from the Secretary, whose contact details are at the end of this policy.

#### **4. RAISING A WHISTLEBLOWING CONCERN**

4.1 We hope that you will be able to first raise any concerns with your line manager. You may tell them in person or put the matter in writing if you prefer. They may be able to agree a way of resolving your concern quickly and effectively. In some cases they may refer the matter to the Whistleblowing Officer.

4.2 However, where the matter is more serious, or you feel that your line manager has not addressed your concern, or you prefer not to raise it with them for any reason, you should contact one of the following:

- (a) The Head of Legal Services;
- (b) The Executive Officer (Secretariat);
- (c) The Chairman of Council; or
- (d) One of the external bodies mentioned at paragraph 10 below.

Contact details are set out at the end of this policy.

4.3 If disclosed internally, a meeting will be arranged with you as soon as possible to discuss your concern.

4.4 It will be helpful to provide a written summary of your concern and provide you with a copy after the meeting. The aim is to give you an indication of how the School proposes to deal with the matter.

#### **5. CONFIDENTIALITY**

5.1 The School hopes that staff will feel able to voice whistleblowing concerns openly under this policy. However, if you want to raise your concern confidentially, every effort will be made to keep your identity secret. If it is necessary for anyone investigating your concern to know your identity, we will discuss this with you.

5.2 We do not encourage staff to make disclosures anonymously. Proper investigation may be more difficult or impossible if we cannot obtain further information from you. It is also more difficult to establish whether any allegations are credible. Whistleblowers who are concerned about possible reprisals if their identity is revealed should come forward to the Whistleblowing Officer or one of the other contact points listed in paragraph 4 and appropriate measures can then be taken to preserve confidentiality. If you are in any doubt you can seek advice from ACAS (Advisory, Conciliation and Arbitration Service) and/or Public Concern at Work, the independent whistleblowing charity, who offer a confidential helpline. Their contact details are at the end of this policy.

## **6. INVESTIGATION AND OUTCOME**

- 6.1 Once you have raised a concern, we will carry out an initial assessment to determine the scope of any investigation. We will inform you of the outcome of our assessment. You may be invited to attend additional meetings in order to provide further information.
- 6.2 In some cases we may appoint an investigator or team of investigators including staff with relevant experience of investigations or specialist knowledge of the subject matter. The investigator(s) may make recommendations for change to enable us to minimise the risk of future wrongdoing.
- 6.3 We will aim to keep you informed of the progress of the investigation and its likely timescale. However, sometimes the need for confidentiality may prevent us giving you specific details of the investigation or any disciplinary action taken as a result. You should treat any information about the investigation as confidential.
- 6.4 If we conclude that a whistleblower has made false allegations maliciously or with a view to personal gain, the whistleblower will be subject to disciplinary action.

## **7. IF YOU ARE NOT SATISFIED**

- 7.1 While we cannot always guarantee the outcome you are seeking, we will try to deal with your concern fairly and in an appropriate way. By using this policy you can help us to achieve this.
- 7.2 If you are not happy with the way in which your concern has been handled, you can raise it with one of the other key contacts in paragraph 4. Alternatively you may contact the chairman of the [Audit Committee **OR** board of directors] or our external auditors. Contact details are set out at the end of this policy.

## **8. EXTERNAL DISCLOSURES**

- 8.1 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.
- 8.2 The law recognises that in some circumstances it may be appropriate for you to report your concerns to an external body like the Department for Education. It will very rarely if ever be appropriate to alert the media. We strongly encourage you to seek advice before reporting a concern to anyone external. The independent whistleblowing charity, Public Concern at Work, operates a confidential helpline. They also have a list of prescribed regulators for reporting certain types of concern. Their contact details are at the end of this policy.
- 8.3 Whistleblowing concerns usually relate to the conduct of School staff, but they may sometimes relate to the actions of a third party, such as a supplier or service. 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 paragraph 4 for guidance.

## 9. PUBLIC INTEREST DISCLOSURES AND THE LEGISLATIVE SAFETY NET

- 9.1 It is understandable that whistleblowers are sometimes worried about possible repercussions. We aim to encourage openness and will support staff who raise genuine concerns under this policy, even if they turn out to be mistaken.
- 9.2 Whistleblowers must not suffer any detrimental treatment as a result of raising a concern. Detrimental treatment includes dismissal, disciplinary action, threats or other unfavourable treatment connected with raising a concern. If you believe that you have suffered any such treatment, you should inform the Secretary immediately. If the matter is not remedied you should raise it formally using our Grievance Procedure.
- 9.3 Where a whistleblower is threatened, retaliated against, bullied or harassed in any way, such conduct will not be tolerated and is likely to result in disciplinary action being commenced.
- 9.4 A confidential support and counselling hotline is available (PCAW) to whistleblowers who raise concerns under this policy. Their contact details are set out at the end of this policy.

## 10. CONTACTS

<b>Whistleblowing Officer</b>	Lucinda Parr Secretary 020 7927 2014 Lucinda.parr@lshtm.ac.uk
<b>Head of Legal</b>	Daniel Scannell 020 7927 2335 Daniel.scannell@lshtm.ac.uk
<b>Executive Officer (Secretariat)</b>	Tess Winther 020 7927 2084
<b>Chairman of Council</b>	Dame Marjorie Scardino Marjorie.Scardino@lshtm.ac.uk
<b>External Auditors</b>	Grant Thornton Richard.shaw@uk.gt.com
<b>Public Concern at Work (Independent whistleblowing charity)</b>	Helpline: (020) 7404 6609 Email: <a href="mailto:whistle@pcaw.co.uk">whistle@pcaw.co.uk</a> Website: <a href="http://www.pcaw.co.uk">www.pcaw.co.uk</a>
<b>ACAS</b>	Website: <a href="http://www.acas.org.uk">www.acas.org.uk</a>