



September 2022

Human Resources Policy Statement HRPS21

WHISTLEBLOWING / CONFIDENTIAL REPORTING POLICY AND PROCEDURE

1. Introduction

- 1.1 Middlesex University is committed to the highest standards of quality, probity, openness and accountability.
- 1.2 As part of that commitment, we encourage workers or others with concerns about any aspect of our work to take appropriate action by coming forward and expressing those concerns. In many cases, concerns or complaints will be dealt with through our Grievance Procedure or Disciplinary Procedure. However, in some cases, we recognise that workers will need to come forward on a confidential basis about suspected or actual wrongdoing. We want to make it clear that they can do so without fear of reprisal or victimisation. This Policy refers to the disclosure internally or externally by workers or former workers of wrongdoing, illegal acts or omissions at work as listed below under Scope of the Policy.

2. Objectives of having a Whistleblowing Policy and Procedure

To promote a working environment where workers can feel safe in raising concerns without fear of being seen as troublemakers and to encourage freedom of speech without workers being subject to any detriment, including victimisation and/or disciplinary action.

To promote the use of informal, internal mechanisms in order to prevent concerns being publicly disclosed with all the resultant negative publicity when the issues could have been resolved at an early stage internally.

To provide for any genuine and legitimate concerns to be fully investigated and appropriate action taken towards resolving them.

To deter wrongdoing.

To promote accountability throughout Middlesex University.

3. Scope of the Policy

- 3.1
-
-

- 6.2 If the disclosure relates to wrongdoing by the Clerk to the Board of Governors or the Vice-Chancellor, the disclosure should be made direct to the Chair or (in the Chair's absence) the Deputy-Chair of the Board of Governors who will then decide what action should be taken.
- 6.3 Any disclosure to a Designated Assessor under this procedure should normally be in writing by email, however a telephone call or discussion in person is acceptable.
- 6.4 On receipt of the disclosure, the Designated Assessor will, without revealing the identity of the Discloser, offer to interview the Discloser in confidence. If the Discloser agrees to an interview this will take place as soon as practicable after the initial disclosure. The purpose of the interview will be for the Designated Assessor to obtain as much information as possible from the Discloser about the grounds of the belief of wrongdoing and to consult with the Discloser about further steps which could be taken. The Discloser may be accompanied by a local trade union representative or work colleague at the interview. The Designated Assessor may be accompanied by an administrative assistant to take notes, which will not identify the Discloser. For safeguards in relation to confidentiality, see below.

7. Further Steps

- 7.1 As soon as practicable after the interview (or after the initial disclosure if no interview takes place)eps

However, confidentiality will be assured and the Discloser's name will not be disclosed without their written consent during the course of this procedure, except where:

the Designated Assessor is under a legal obligation to do **OR**

there are grounds for believing the Discloser has acted maliciously **OR**

tes(c)-2 ((,)-6.nD Tc 0 Tw 29.576,)Tj-0.00 Tw -42.9MCID 5 BDC /C20 1 Tf7 Tc -28.739 -1.15

13.1 A report of all disclosures and any subsequent actions taken will be made by the Lead Assessor who will retain such reports for a period of not less than three years. In all cases a report of the outcomes of any investigation will be made to the Audit and Risk Committee in detail where the issue falls within its remit, and in summary in other cases as a means of allowing the Audit and Risk Committee to monitor the effectiveness of the procedure. Any reports of whistleblowing are reported to the Board of Governors through the Audit & Risk Committee where whistleblowing is a standing agenda item.

14. Contact details

14.1 The assessors can be contacted as followed:

Teresa Kelly / t.kelly@mdx.ac.uk / 020 8411 6018

Sandra Appiah / s.appiah@mdx.ac.uk / 020 8411 5665

David Malpas / d.malpas@mdx.ac.uk / 020 8411 5830

Dave Lewis / d.lewis@mdx.ac.uk / 020 8411 5983

Sioban O'Farrell-Pearce / s.ofarrell-pearce@mdx.ac.uk / 020 8411 3217

Whistleblowing/confidential reporting procedure

