WHISTLEBLOWING POLICY

Purpose

CRUK encourages staff to report actual or suspected misconduct to protect the organisation and to support the achievement of its objectives.

The purpose of this Policy is:

• To provide a process for staff to raise concerns in confidence;
• To ensure that staff receive a response to concerns raised and that they are aware of how to pursue concerns if not satisfied; and
• To reassure staff that they will be protected from possible reprisals or victimisation.

This policy relates to serious allegations about standards, conduct, financial irregularity or possible unlawful action. This procedure does not replace other policies and procedures such as the Complaints Procedure, the Grievance and Harassment and Bullying Policies and other specifically mandated statutory reporting procedures.

The Public Interest Disclosure Act 1998 (PIDA) generally protects employees who raise genuinely held concerns, even if they turn out to be mistaken.

Scope

This Policy applies to Cancer Research UK, Cancer Research UK Trading Limited, Cancer Research Technology Limited, Cancer Research UK Pension Scheme and The Cancer Research Campaign Pension Plan (referred to collectively as “CRUK”) and to all CRUK staff. The term “staff” includes employees, contractors, agency staff, volunteers, secondees, students and consultants.

If you have concerns about CRUK’s workplace, you should also familiarise yourself with the following policies and consider whether the related processes may be more appropriate for dealing with your concerns. 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 following policies:

• Grievance (Resolving Concerns at Work) Policy - this Policy deals with your problems, complaints or concerns about work, working conditions or workplace relationships; or the
• Dignity at Work Policy - this Policy covers employees’ behaviour towards each other in all areas, but particularly: discrimination, harassment, victimisation and bullying.
Key Points

CRUK takes malpractice and wrongdoing extremely seriously and is committed to creating a safe environment in which to raise genuine concerns ‘in-house’ confidentially and without fear of victimisation, subsequent discrimination or disadvantage. To this end CRUK is committed to:

• Providing simple and secure mechanisms to raise concerns;
• Providing access to independent advice where required;
• Recording concerns completely and confidentially;
• Investigating concerns promptly and fairly and maintaining objectivity and confidentiality throughout;
• Providing individuals with an opportunity to remain anonymous;
• Providing the right to be accompanied for any meetings in relation to their concerns; and
• Keeping the individual informed throughout the investigation, as appropriate.

Concerns covered by the Policy

The policy covers actions or omissions which you consider to be illegal, non compliant with regulatory requirements, contrary to policy or organisational procedures, outside the scope of an individuals authority or which could materially damage CRUK.

Whistleblowing is the disclosure of information which relates to suspected wrongdoing or dangers at work. This may include:

• Conduct which is an offence or a breach of law;
• A failure to comply with legal obligations;
• Imminent health and safety risks, including risks to the public as well as other staff;
• Damage to the natural environment;
• Scientific or professional malpractice;
• Fraud, theft, bribery or corruption;
• Improper or unauthorised use of CRUK funds, resources or time;
• Unethical or improper conduct or conduct which breaches CRUK policies or procedures, including improper use of authority; or
• Slavery, servitude, forced or compulsory labour and/or trafficking in CRUK or its supply chain.

If you have concerns about a third party, such as a supplier or partner of CRUK, you should also report this using the procedure outlined in this Policy. CRUK can then contact the third party or take other appropriate action.

Whistleblowing Process

CRUK has appointed an independent company, Expolink (http://www.expolink.co.uk/), to provide an external whistleblowing hotline service which is available 24 hours a day/7 days a week. Expolink specialises in helping organisations respond to concerns. It is staffed by experienced
operators who will log your concern and gather the required information as well as acting as the main liaison with you and ensuring that your identity is protected if requested.

If you have a concern you can either:

• Discuss with your manager or, alternatively, with the Risk and Assurance Team.
• Call our independent Whistleblowing Hotline on 0800 374199;
• Use the independent Whistleblowing Reporting Tool here Submit A Report (access code: cancerresearch).

**Reporting concerns**

Concerns should be reported in accordance with the Whistleblowing Process outlined in the attached process.

**Confidentiality**

CRUK will use its best endeavours to protect an individual’s identity if they raise a concern and do not want their identity disclosed. There may, however, be circumstances in which, because of the nature of the investigation or disclosure, it will be necessary to disclose your identity. If such circumstances exist, you will be informed.

**Anonymous reporting**

Individuals are encouraged to provide their names with any disclosures they make. Concerns expressed anonymously may be less credible and will be considered at the discretion of the Charity. In exercising this discretion, the factors to be taken into account will include:

• The seriousness of the issues raised;
• The credibility of the concern and the evidence available; and
• The likelihood of confirming the allegation from attributable sources.

Measures can then be taken to preserve an individual’s confidentiality as appropriate.

Proper investigation may be more difficult or impossible if we cannot obtain further information from you. It is therefore preferable for those raising concerns to reveal their identity. Measures can be taken to preserve confidentiality as appropriate.

**Protection and support for those raising concerns**

The Public Interest Disclosure Act aims to protect individuals who feel they have genuine concerns. CRUK is committed to good practice and high standards and is committed to being supportive of anyone who has concerns regardless of their employment status. In particular:
• Whistleblowers raising matters of concern internally will be protected from harassment, victimisation, disciplinary action or dismissal, or any other disadvantage at work (even if your disclosure of any wrongdoing or malpractice is not substantiated after investigation); and
• The Charity will not tolerate harassment or victimisation and will take such action as is necessary to protect individuals when they raise concerns under this Policy.

If you believe that you are being subjected to a detriment within the workplace as a result of raising concerns under this Policy, you should inform the Director of Risk and Assurance immediately. Staff who victimise or retaliate against those who have raised concerns under this Policy may be subject to disciplinary action under CRUK’s Disciplinary Policy

Right to be accompanied

Raising concerns can be difficult, however, you are urged to come forward with concerns at an early stage and before suspected problems become more serious. If it helps, you may come forward with another colleague, or a staff representative, to support you when raising a concern. Your companion will be asked to respect the confidentiality of your disclosure and any subsequent investigation.

Support & Advice

For any queries regarding this Policy please refer to the Risk and Assurance Team at RiskandAssurance@cancer.org.uk or 020 3469 6207.

Related documents
For more information please see the following documents/web pages:

Disciplinary Policy
Conflicts of Interest
Anti-fraud Policy

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<th>Policy sponsor</th>
<th>Rita Akushie, Chief Financial Officer</th>
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<td>Policy owner</td>
<td>Perry Christian, Director, Risk and Assurance</td>
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<td>Executive Board or Council approval required?</td>
<td>No</td>
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<tr>
<td>Date of last review</td>
<td>January 2020</td>
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<tr>
<td>Next review due</td>
<td>January 2021</td>
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<tr>
<td>Superseded documents</td>
<td>Version 07</td>
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<td>Reviewed by Policy Forum</td>
<td>16/01/20</td>
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Summary of Changes

Key changes to the Policy should be recorded below:

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<th>Version</th>
<th>Date</th>
<th>Author</th>
<th>Approved by</th>
<th>Summary of Changes</th>
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<tr>
<td>7</td>
<td>11.01.19</td>
<td>Phil Sapey, Counter Fraud Manager</td>
<td>Rita Akushie, Chief Financial Officer</td>
<td>Annual Review. Amended for legislation changes</td>
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<td>8</td>
<td>5 March 2020</td>
<td>Phil Sapey, Counter Fraud Manager</td>
<td>Rita Akushie, Chief Financial Officer</td>
<td>Annual Review. Removed paragraph on bad faith disclosure and clarified CRUK’s position in relation to protecting individuals not covered by the legislation.</td>
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Reporting concerns

Who do I report concerns to?

If you are concerned about any activity that you witness or are aware of then, you should raise your concern promptly. This includes not only issues that involve you, but also others in relation to CRUK activities.

Whenever possible you should raise your concerns with your manager. They will work with you to address your concern and/or escalate it as appropriate, whilst also reporting it to the Risk and Assurance Director. If you do not feel comfortable discussing your concerns with your manager, you wish to remain anonymous or you believe that your manager is in some way involved with your concern, you should either contact the Risk and Assurance Team directly or, alternatively, contact CRUK’s external whistleblowing hotline by either:

• Calling the independent Whistleblowing Hotline on 0800 374199; or
• Using the online Whistleblowing Reporting Tool which can be found on the homepage of the CRUK intranet site (www.expolink.co.uk/for-employees - access code: cancerresearch).

If you are not satisfied with the action that your line manager takes you can also contact the Risk and Assurance Director directly.

If you are not satisfied with the actions taken thereafter you may write to the Chief Executive Officer or to the Chairman at CRUK's head office at 2 Redman Place, London, E20 1JQ.

How are Concerns Recorded?

If you raised the concern with your manager, then depending on the nature and severity of the concern this will be investigated by appropriately designated management and/or the Risk and Assurance Team.

If you raised your concern with the external whistleblowing hotline, Expolink (the external service provider) will draft a short report from notes of your conversation and forward it confidentially to the Risk and Assurance Director. If you completed the form online, Expolink will check the form for completeness and send the Risk and Assurance Director the related report. Regardless of the method you use to contact the external hotline, they will ask you for your permission to share your details with CRUK. If permission is not granted, CRUK will not be informed of your personal details but will only receive a report of your concerns.

If you raised the concern with Risk and Assurance directly, they will acknowledge receipt of your concern and will keep a record of the further action taken.

Investigating and responding to concerns

Initial response

CRUK will respond promptly to the individual raising the concern, either directly in writing or via the external hotline, to acknowledge that the concern has been received and where applicable:

• Indicate how it proposes to deal with the matter; or
• Request additional information.
The individual will also be provided with details of the support available which will include access to counselling facilities.

**Appropriate action**

The action taken by CRUK will depend on the nature of the concern, the appropriate method of investigation, the skills needed and the nature of evidence required to substantiate the concern. The matters raised may:

- Be investigated internally;
- Be referred to the Police;
- Be referred to the external auditor; or
- Form the subject of an independent inquiry.

**Contact with the individual making the disclosure**

The amount of contact between those people considering the issues and the individual raising the disclosure will depend on the nature of the matters raised and the information required.

So far as the Risk and Assurance Director considers it appropriate, subject to legal constraints, you will be kept informed of the progress of the investigation and whether external authorities have been notified. However, the need for confidentiality may prevent Risk and Assurance or an investigator from giving you specific details.

**Monitoring**

The Risk and Assurance Director, in conjunction with the Director who has responsibility for the relevant department of the Charity, will be responsible for monitoring the outcome of the concerns raised through this Policy.