

## WHISTLEBLOWING POLICY

### 1. Purpose

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

### 2. 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 and volunteers. The term “staff” includes employees, contractors, agency staff, secondees, students and consultants.

### 3. Background

The Public Interest Disclosure Act 1998 (PIDA) protects individuals who raise genuine concerns. This policy, which is in line with the guidance set out in PIDA, sets out the framework and process through which CRUK enables individuals to raise concerns confidentially without fear of reprisal.

The aim of this policy is:

- To provide a mechanism for staff and volunteers to raise concerns in confidence;
- To ensure that staff and volunteers receive a response to concerns raised and that they are aware of how to pursue concerns if not satisfied; and
- To reassure staff and volunteers that they will be protected from possible reprisals or victimisation if the staff member or volunteer makes a disclosure in good faith.

If you have concerns about any aspect of CRUK’s workplace, you should familiarise yourself with the following policies and consider whether either of these policies may be more appropriate for dealing with your concerns:

- Grievance (Resolving Concerns at Work) - this policy deals with your problems, complaints or concerns about work, working conditions or workplace relationships; or
- Dignity at Work - this policy covers employees’ behaviour towards each other particularly in relation to discrimination, harassment, victimisation and bullying.

### 4. Policy statement

CRUK takes malpractice extremely seriously and is committed to creating a safe environment in which to raise genuine concerns ‘in-house’ confidentially and in good faith 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, through CRUK’s external Whistleblowing Hotline;
- Recording concerns 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 individuals informed throughout the investigations undertaken, where appropriate.

### Concerns covered by the policy

This 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 individual's authority or which could materially damage CRUK. Examples might 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 and volunteers;
- 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;
- Slavery, servitude, forced or compulsory labour and/or trafficking in CRUK or its supply chain; or
- Where any of the above is being, or is likely to be, deliberately concealed.

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

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 are uncertain whether your concerns are within the scope of this policy, you can seek clarity by:

- Calling our independent Whistleblowing Hotline on 0800 374199;
- Using the online Whistleblowing Reporting Tool which can be found on the homepage of the CRUK intranet site Submit A Report (access code: cancerresearch).

### Reporting concerns

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

### Confidentiality

The Charity 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.

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

### **Protection and support for those raising concerns**

“Whistleblowing” legislation 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. In particular:

- Whistleblowers raising matters of concern internally are 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), provided issues are raised and disclosed in good faith; and
- The Charity will not tolerate harassment or victimisation and will take such action as is necessary to protect individuals when they raise concerns in good faith 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, particularly those that may relate to fraud. However, you are urged to come forward with concerns at an early stage and before suspected problems may 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.

### Disclosures made in bad faith

If an investigation under this policy concludes that a concern has been raised maliciously, vexatiously, in bad faith or with a view to personal gain, the individual making the disclosure may be subject to disciplinary action under CRUK's Disciplinary Policy.

### 5. Support and Advice

For any queries regarding this policy please refer to the Risk and Assurance Team at [RiskandAssurance@cancer.org.uk](mailto:RiskandAssurance@cancer.org.uk) or 020 3469 6207

### 6. Related Documents

Grievance (Resolving Concerns at Work)  
Dignity at Work  
Disciplinary Policy  
Conflicts of Interest  
Anti-fraud Policy

<b>Policy Sponsor</b>	Chief Financial Officer and EB Director of Corporate Resources
<b>Policy Owner</b>	Perry Christian, Director of Risk and Assurance
<b>EB or Trustee approval required?</b>	No
<b>Date of last review</b>	11 January 2018
<b>Next review due</b>	11 January 2019
<b>Superseded Documents</b>	Whistleblowing Process V6

## Whistleblowing Process

### 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 or staff contact. 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 or staff contact, you wish to remain anonymous or you believe that your manager or staff contact is in some way involved with your concern, you should either contact the Director of Risk and Assurance 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](http://www.expolink.co.uk/for-employees) - access code: cancerresearch).

If you are not satisfied with the action that your line manager or staff contact takes you can also contact the Director of Risk and Assurance 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 407 St John Street, London, EC1V 4AD.

If you are not satisfied with the actions taken thereafter you may contact the Fundraising Regulator (2nd floor, CAN Mezzanine Building, 49-51 East Road, London, N1 6AH), the Independent Fundraising Standards and Adjudication Panel for Scotland (OSCR, 2nd Floor, Quadrant House, 9 Riverside Drive, Dundee DD1 4NY) or the Charity Commission for Northern Ireland (257 Lough Road, Lurgan, Craigavon, BT66 6NQ). You may also contact the Charity Commission on [whistleblowing@charitycommission.gsi.gov.uk](mailto:whistleblowing@charitycommission.gsi.gov.uk).

#### How are Concerns Recorded?

If you raised the concern with your manager or staff contact, Risk and Assurance will review this with your manager/staff contact as appropriate and undertake any necessary investigation in line with agreed procedures.

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 a 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, Risk and Assurance will acknowledge receipt of your concern and will keep a record of further action taken.

## Investigating and responding to concerns

### Initial response

Within 10 working days of a concern being received, or sooner if the situation requires, CRUK will respond 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 making the disclosure will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided.

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 Director of Risk and Assurance, 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 and Process.

All amendments to the policy document should be recorded via the table below:

<b>Version</b>	<b>Date</b>	<b>Author</b>	<b>Approved by</b>	<b>Description of Amendment</b>
6	11.01.2018	Ibrahim Khatib, Risk and Assurance Senior Manager; Nesva Osken Risk and Assurance Manager	Perry Christian, Director of Risk and Assurance	Annual review Policy Sponsor updated due to organisational change.