



Know Your Potential Consultancy Ltd

WHISTLEBLOWING POLICY





Reporting a concern about malpractice, wrong-doing or fraud in the workplace

1. Introduction.

KYP training provider is committed to conducting its affairs in a responsible way and demonstrating the highest standards of openness, honesty and integrity.

1.2 All organisations face the risk of malpractice within the workplace and of unknowingly harbouring illegal or unethical conduct. Encouraging a culture of openness where staff feel able to raise concerns and to speak out about suspected wrongdoing or malpractice is essential in ensuring we maintain the highest standards of management, governance and accountability at all times.

1.3 Aim of policy.

Provide staff with guidance on the concerns that can be raised under whistleblowing procedures and to provide an overview of the process that will be followed once a concern has been raised. Separate procedures are in place to manage student concerns relating to a course or a placement. Students should speak with their tutor or the Complaints and Appeals DESIGNATED PERSON in the first instance to establish the appropriate course of action.

The Complaints and Appeals Officer can be contacted by email: admin@kyptraining.com

1.4 Where a concern is raised under the Whistleblowing Policy, we will seek to ensure that your concern is handled fairly and in the appropriate manner.

1.5 The procedures outlined below are reflective of current legislation and recognise the importance of staff feeling able to raise genuine and legitimate concerns without being subject to disciplinary sanctions or victimisation provided that they do so lawfully, without malice and in the public interest.

2. Arrangements and Principles

2.1 The arrangements set out in this policy should assist you in reporting concerns about suspected wrongdoing or malpractice at work (often referred to as “whistleblowing”), such as:

- Criminal activity.
- Financial malpractice, mismanagement or fraud.
- Tax fraud (including the facilitation of tax fraud by third parties).
- Improper or unauthorised use of public or other funds.
- Failure to comply with a legal obligation.
- Miscarriages of justice.
- Danger to the health and safety of any individual.
- Damage to the environment.
- Concerns regarding the safeguarding of children or vulnerable adults.

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- Concerns regarding unethical conduct.
- Concerns about bribery or corruption.
- An attempt to deliberately conceal any of the above

2.2 If you have any genuine concerns related to suspected wrongdoing or malpractice affecting any of KYP activities you should report it under this policy.

2.3 If you are unsure whether something is within the scope of this policy you should seek advice from your line manager (if appropriate) or one of the individuals listed below.

2.4 This policy aims to encourage staff to report suspected wrongdoing as soon as possible and to ensure that staff feel confident that they can raise any genuine concern without fear of reprisals, even if they turn out to be mistaken, in the knowledge that it will be taken seriously, investigated as appropriate and treated confidentially.

2.5 It applies to all employees/Learners irrespective of the nature of their contract as well as other individuals who perform work for KYP.

2.6 This policy does not form part of any employee's contract of employment and we may amend it at any time.

2.7 Please note that this policy is not applicable in circumstances where your concern is about your personal position, such as the terms of your employment contract or the way you have been treated at work. In these cases, KYP Grievance or Bullying and Harassment policies are more likely to be relevant and we would encourage you to seek further advice from your line manager or a member of the HR team if you are unclear as to the relevant policy.

3. Staff Responsible for the Policy and its arrangements.

The Director of KYP and Head of Governance & Regulatory Affairs have day-to-day operational responsibility for this policy, and should ensure that processes are in place for managers and other staff who may deal with concerns or investigations under this policy to receive appropriate support. Review this policy periodically to ensure that it remains effective and reflective of legal and operational requirements. All staff are responsible for the success of this policy and are encouraged to act with accountability and to disclose any suspected malpractice or wrongdoing as soon as concerns are raised.

If you believe that you have suffered any detrimental treatment as a result of raising a concern under this policy, you should report this to your line manager (if appropriate).

3.4 Staff are encouraged to use this policy to raise genuine and legitimate concerns. However, it is also possible that this policy could be used to make false and malicious allegations. If, following investigation, an individual is found to have made allegations maliciously, or which they do not reasonably believe to be true or in the public interest, they may be subject to disciplinary action under KYP disciplinary procedure.

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Staff Responsible for the Policy and its arrangements - continued

3.5 If you are involved in any detrimental treatment towards somebody raising a concern under this policy, or attempt to deter somebody from raising a legitimate concern under this policy, this will be regarded as a serious offence and you may be subject to disciplinary action under KYP disciplinary procedure.

4. Confidentiality.

4.6 Through using this policy, staff should feel able to raise any concern openly. However, we recognise that there may be circumstances when you would prefer to speak or raise a concern with someone in confidence.

4.7 When raising a concern, the process will be discussed with you and every effort will be made to protect your identity should you wish. All steps will be taken to maintain confidentiality as far as is consistent with progressing the matter and our legal obligations.

4.8 In some circumstances, it may not be possible to resolve a concern without revealing your identity, for example, where your personal evidence is essential in any investigation or proceedings. In such circumstances you will be contacted in advance of your identity being disclosed.

4.9 In addition, where there is evidence of criminal activity, the police will normally be informed.

4.10 Any personal information provided to the University will be managed in accordance with data protection legislation (Data Protection Act 1998, General Data Protection Regulation (GDPR) and all subsequent related legislation) and KYP Information Security policy.

5. Anonymous Allegations

5.1 We do not encourage staff to make disclosures anonymously. In such circumstances, it may be more difficult to investigate the concern fully, to protect the individual from reprisal, to establish whether any allegations are credible and to give feedback at the end of the process.

5.2 KYP will need to satisfy itself that any serious anonymous allegations are investigated thoroughly, as far as is reasonably practicable based upon the facts and the information disclosed anonymously. If you are concerned about possible reprisals, please notify the person to whom you are making the disclosure so that appropriate steps can be taken.

6. How to raise your concern

6.1 If you have a concern, you are encouraged to raise it with your IQA or admin@kyptraining.com in the first instance. You may do this orally or in writing. You should state the facts of the matter clearly and provide any information that may help inform any investigation. If you have a direct or personal interest in the matter, this should be highlighted at this stage. If you are raising your concern in writing, please remember to give details of how you would like to be contacted.

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How to raise your concern - continued

6.2 In some cases, your line manager may refer the matter to and/or otherwise involve Human Resources.

6.3 If it is not appropriate for you to raise your concern with your line manager then please use the alternative internal contacts referred to below.

admin@kyptraining.com

6.4 Where the matter is more serious, or you feel unable to raise the matter with your line IQA, you should contact the QCM at admin@kyptraining.com Head of Governance & Regulatory Affairs.

7. How we will handle your concern?

7.1 Once you have raised a concern under this policy, a decision will be made regarding the most appropriate action. We will tell you and take your concern forward under the appropriate policy, if appropriate.

7.2 When your reported concerns fall under this policy, your concerns will be investigated and you will be advised:

7.2.1 who is handling the matter and how you can contact him or her;

7.2.2 if further input is needed from you (this may include a meeting with you to discuss your concern);
and

7.2.3 if you request, we will write to you with a summary of your concern and an outline of how we propose to handle it.

7.3 You may bring a colleague or trade union representative to any meetings under this policy. Your companion must respect the confidentiality of your disclosure and any subsequent investigation.

7.4 It is a matter for KYP to determine how to investigate the concern and who should conduct the investigation, and this will depend on the individual circumstances of the case. We will keep you informed of the progress of the investigation and its likely timescale as far as practicable. However, the need for confidentiality may prevent us from giving you specific details of the investigation or any action taken as a result. We would expect to be able to advise you when the investigation stage has been completed. In addition, if as a result of the investigation the University introduces a change to its policies or practices then we would expect to be able to inform you of this.

7.5 If you are provided with information about the investigation, you should treat it as confidential.

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8. How to raise your concern

8.1 The aim of this policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the LEARNING 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 such as a regulator. KYP strongly encourages you to seek advice before reporting a concern to anyone external.

9.3 Concerns usually relate to the conduct of our staff, but they may sometimes relate to the actions of a third party, such as a customer, supplier or service provider. 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.



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