



**Ridley
Eye
Foundation**

Policy On
Whistleblowing

ridleyeyefoundation.org

Whistleblowing policy (confidential reporting)

What Is Whistleblowing?

1. In this policy 'Whistleblowing' means the reporting by employees of suspected misconduct, illegal acts or failure to act within the Charity or any subsidiaries or projects whether national or international.

Aim

2. The aim of this Policy is to encourage employees and others (including donors and sponsors) who have serious concerns about any aspect of the Charity's work to come forward and voice those concerns.

3. Employees and volunteers are often the first to realise that there may be something seriously wrong within the Charity. 'Whistleblowing' is viewed by the Charity as a positive act that can make a valuable contribution to the Charity, reputation's efficiency and long-term success. It is not disloyal to colleagues or the Charity to speak up. The Charity is committed to achieving the highest possible standards of charitable service to its beneficiaries, and the highest possible ethical standards within the charitable sector and in all of its practices. To help achieve these standards it encourages freedom of speech.

4. If you are considering raising a concern you should read this Policy first. It explains:

- the type of issues that can be raised
- how the person raising a concern will be protected from victimisation and harassment
- how to raise a concern, and
- what the Charity will do

5. What is the aim of the Policy and when does it apply?
Aims of the Policy.

A. The Policy is designed to ensure that you can raise your concerns about wrongdoing or malpractice within the Charity without fear of victimisation, subsequent discrimination, disadvantage or dismissal.

B. It is also intended to encourage and enable you to raise serious concerns within the Charity rather than ignoring a problem or 'blowing the whistle' outside.

C. This Policy aims to:

- encourage you to feel confident in raising serious concerns at the earliest opportunity and to question and act upon concerns about practice
- provide avenues for you to raise those concerns and receive feedback on any action taken

- ensure that you receive a response to your concerns and that you are aware of how to pursue them if you are not satisfied
- reassure you that you will be protected from possible reprisals or victimisation if you have made any disclosure in good faith

Scope Of This Policy

6. This Policy is intended to enable those who become aware of wrongdoing in the Ridley Eye Foundation affecting some other person or service, to report their concerns at the earliest opportunity so that they can be properly investigated.

7. The Whistle Blowing Policy is not intended to replace existing procedures:

- if your concern relates to your own treatment as an employee, you should raise it under the existing grievance or complaints procedures
- if a client has a concern about services provided to him/her, it should be raised as a complaint to the Finance and Compliance Trustee



Whistleblowing policy (confidential reporting)

8. Who can raise a concern under this Policy? The Policy applies to all:

- employees of the Ridley Eye Foundation
- employees of contractors working for the Charity
- those providing services under a contract or other agreement with the Charity in their own premises, for example donors and funders, and voluntary workers working with the Charity

9. What should be reported? Any serious concerns that you have about service provision or the conduct of executives or members of the Charity or others acting on behalf of the Charity that:

- make you feel uncomfortable in terms of known standards
- are not in keeping with the Charity's Constitution and policies
- fall below established standards of practice; or
- are improper behaviour

10. These might relate to:

- Conduct which is an offence or a breach of the law (a criminal offence has been committed or failing to comply with any other legal obligation)
- Disclosures related to miscarriages of justice
- Racial, sexual, disability or other discrimination
- Health and safety of the public and/or other employees
- Damage to the environment
- Unauthorised use of public funds or other assets
- Possible fraud and corruption
- Neglect or abuse of clients, or
- Other unethical conduct

This list is not exhaustive.

Protecting The Whistleblower

11. Your legal rights.

- This policy has been written to take account of the Public Interest Disclosure Act 1998 which protects workers making disclosures about certain matters of concern, when those disclosures are made in accordance with the Act's provisions and in the public interest
- The Act makes it unlawful for the Charity to dismiss anyone or allow them to be victimised on the basis that they have made an appropriate lawful disclosure in accordance with the Act

12. Rarely, a case might arise where it is the employee that has participated in the action causing concern. In such a case it is in the employee's interest to come into the open as soon as possible. The Charity cannot promise not to act against such an employee, but the fact that they came forward may be taken into account.

13. Harassment or Victimisation.

- The Charity is committed to good practice and high standards and to being supportive of you as an employee
- The Charity recognises that the decision to report a concern can be a difficult one to make. If you honestly and reasonably believe what you are saying is true, you should have nothing to fear because you will be doing your duty to your employer, your colleagues and those for whom you are providing a service
- The Charity will not tolerate any harassment or victimisation of a whistleblower (including informal pressures) and will take appropriate action to protect you when you raise a concern in good faith and will treat this as a serious disciplinary offence which will be dealt with under the disciplinary rules and procedure



Whistleblowing policy (confidential reporting)

14. Support to you. Throughout this process:

- You will be given full support from senior management
- Your concerns will be taken seriously, and
- The Charity will do all it can to help you throughout the investigation
- If appropriate, the Charity will consider temporarily re-deploying you for the period of the investigation

15. For those who are not Charity employees, REF will endeavour to provide appropriate advice and support wherever possible.

16. Confidentiality. All concerns will be treated in confidence and every effort will be made not to reveal your identity if that is your wish. If disciplinary or other proceedings follow the investigation, it may not be possible to take action as a result of your disclosure without your help, so you may be asked to come forward as a witness. If you agree to this, you will be offered advice and support.

17. Anonymous Allegations. This Policy encourages you to put your name to your allegation whenever possible. If you do not tell us who you are it will be much more difficult for us to protect your position or to give you feedback. This policy is not ideally suited to concerns raised anonymously.

18. Concerns expressed anonymously are much less powerful but they may be considered at the discretion of the Charity. In exercising this discretion the factors to be taken into account would include:

- The seriousness of the issue raised
- The credibility of the concern, and
- The likelihood of confirming the allegation from other sources

19. Untrue Allegations. If you make an allegation in good faith and reasonably believing it to be true, but it is not confirmed by the investigation, the Charity will recognise your concern and you have nothing to fear. If however, you make an allegation frivolously, maliciously or for personal gain, appropriate action that could include disciplinary action, may be taken.

Raising A Concern

20. Who should you raise your concern with? This will depend on the seriousness and sensitivity of the issues involved and who is suspected of the wrongdoing. You should normally raise concerns with:

- Your Line Manager
- The Chief Executive

- The Finance and Compliance Trustee
- The Chairman of Trustees

21. The address for correspondence is Swinstead Hall, Swinstead, Nr Grantham, NG33 4PH.

22. If, exceptionally, the concern is about the Chief Executive of the Charity your concern should be raised with the Chairman of Trustees who will decide how the investigation will proceed. This may include external investigation.

23. If you are unsure who to contact, the independent charity Protect can advise you. They offer a free and confidential helpline on 020 3117 2520.

24. How to raise a concern. You may raise your concern by telephone, in person or in writing. The earlier you express your concern, the easier it is to take action. You will need to provide the following information:

- The nature of your concern and why you believe it to be true
- The background and history of the concern (giving relevant dates)
- Although you are not expected to prove beyond doubt the truth of your suspicion, you will need to demonstrate to the person contacted that you have a genuine concern relating to suspected wrongdoing or malpractice within the Charity and there are reasonable grounds for your concern



Whistleblowing policy (confidential reporting)

25. You may wish to consider discussing your concern with a colleague first and you may find it easier to raise the matter if there are two (or more) of you who have had the same experience or concerns.
26. You may invite your trade union, professional association representative or a friend to be present for support during any meetings or interviews in connection with the concerns you have raised.

What The Charity Will Do

27. The Charity will respond to your concerns as quickly as possible. Do not forget that testing your concerns is not the same as either accepting or rejecting them.
28. The overriding principle for the Charity will be the public interest. In order to be fair to all employees, including those who may be wrongly or mistakenly accused, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take.
29. The investigation may need to be carried out under terms of strict confidentiality, i.e. by not informing the subject of the complaint until (or if) it becomes necessary to do so. In certain cases however, such as allegations of ill treatment of others, suspension from work may have to be considered immediately. Protection of others is paramount in all cases.
30. Where appropriate, the matters raised may:
 - Be investigated by management, internal audit, or through the disciplinary/grievance process
 - Be referred to the police
 - Be referred to the external auditor
 - Be referred and put through established child protection/abuse procedures
 - Form the subject of an independent inquiry
31. Within ten working days of a concern being raised, the person investigating your concern will write to you:
 - Acknowledging that the concern has been received
 - Indicating how the Charity proposes to deal with the matter
 - Supplying you with information on staff support mechanisms
 - Telling you whether further investigations will take place and if not, why not

- The amount of contact between you and the officers considering the issues will depend on the nature of the matters raised, the potential difficulties involved and the clarity of your information
 - It is likely that you will be interviewed to ensure that your disclosure is fully understood
32. Any meeting can be arranged away from your workplace, if you wish, and a union or professional association representative or a friend may accompany you in support.
 33. The Charity will do what it can to minimise any difficulties that you may experience as a result of raising a concern. For instance, if you are asked to give evidence in criminal or disciplinary proceedings, the Charity will arrange for you to receive appropriate advice and support.
 34. You need to be assured that your disclosure has been properly addressed. Unless there are any legal reasons why this cannot be done, you will be kept informed of the progress and outcome of any investigation.
 35. The Responsible Officer. The Chief Executive has overall responsibility for the maintenance and operation of this Policy.



Whistleblowing policy (confidential reporting)

How The Matter Can Be Taken Further

36. This Policy is intended to provide you with an avenue within REF to raise concerns. The Charity hopes you will be satisfied with any action taken. If you are not, and you feel it is right to take the matter outside the Charity, the following are the Charity's prescribed contacts:

- The External Auditor:
Moore
Chartered Accountants
Oakley House,
Headway Business Park
3 Saxon Way West
Corby
Northamptonshire
NN18 9EZ
- the police
- other relevant bodies prescribed by legislation – the Chief Executive or the Compliance Trustee will be able to advise you who you can contact

37. If you raise concerns outside the Charity you should ensure that it is to one of these prescribed contacts. A public disclosure to anyone else could take you outside the protection of the Public Interest Disclosure Act and of this Policy.

38. You should not disclose information that is confidential to the Charity or to anyone else, such as a beneficiary or contractor of the Charity, except to those included in the list of prescribed contacts.

39. This Policy does not prevent you from taking your own legal advice.

Review And Documentation

40. The Charity's Trustees will review this Policy annually.

41. Corporate Recording and Monitoring. The CEO will maintain a serious incident register containing all concerns that are brought to their attention. Any executive allocated to look into a concern must ensure the CEO is provided with sufficient details for the register.

42. The CEO will review the register and produce an annual report for Policy Trustees. The report will include a summary of the concerns raised, to which activity within the Charity they related, the post to which the concerns related (if not confidential) and any lessons learned. The report will not include any employee names. The aim of this is to ensure that:

- The Charity learns from mistakes and does not repeat them
- There is a consistency of approach across the Charity's activities and operations
- The Charity serious incident reporting register together with the annual reports will be available for inspection by internal and external audit, after removing any confidential details