

Whistle Blowing Policy

1. Introduction

- (1) It is not uncommon to have concerns about what is happening within the working environment. Usually these concerns are easily resolved. However, when they are about unlawful conduct, financial malpractice or dangers to the public or the environment or harassment or misbehaviour, it can be difficult to know what to do.
- (2) You may be worried about raising such issues or may want to keep the concerns to yourself, perhaps feeling that it is none of your business or that it is only a suspicion. You may feel that raising the matter would be disloyal to colleagues or to the organisation. You may decide to say something but find that you have spoken to the wrong person or raised the issue in the wrong way and are not sure what to do next.
- (3) STAT takes very seriously any form of malpractice and has introduced this procedure to enable members to raise concerns about such malpractice at an early stage and in the right way. STAT takes the view that it is preferable to raise an issue when it is just a concern rather than to wait for proof.
- (4) If something is troubling you that you think STAT should know about or look into, please use this procedure. If you are aggrieved about your personal position, the Complaints Procedure is available to you via the Preliminary Investigation Committee (PIC). However, this Whistle Blowing Policy is also available for concerns about your personal position where you are uneasy about using the Complaints Procedure, as well as where the interests of others or of the organisation itself is at risk.

2. STAT's assurances to you

Your safety

- (1) STAT is committed to this policy. If you raise a genuine concern under this Policy, you will not be at risk of losing your position or suffering any form of retribution as a result. Provided you are acting in good faith, it does not matter if you are mistaken. Of course this assurance is not extended to someone who maliciously raises a matter they know to be untrue.

Your confidence

- (2) STAT will not tolerate the harassment or victimisation of anyone raising a genuine concern. However, STAT recognises that you may nonetheless want to raise a concern in confidence under this Policy. If you feel that your identity needs to be protected by keeping your confidence, it will not be disclosed without your consent. If the situation arises where the concern cannot be resolved without revealing your identity (for instance because your evidence is needed in court), STAT will discuss with you whether and how best to proceed.
- (3) However, if you do not reveal your identity, it will be much more difficult for the matter to be investigated or to protect your position or to give you feedback. Accordingly, while STAT will consider anonymous reports, this Policy is not appropriate for concerns raised anonymously.

3 How STAT will handle the matter

- (1) Once you have reported your concern, it will be assessed initially to determine what action should be taken. This may involve an internal inquiry or a more formal investigation. You will be advised who is handling the matter, how you can contact her/him and whether your further assistance may be needed. If you so request, a letter summarising your concern and setting out how STAT proposes to handle it will be sent to you.
- (2) When you raise the concern you may be asked how you think the matter might best be resolved. If you do have any personal interest in the matter, you must make this clear at the outset. If your concern falls more properly within a complaints procedure you will be advised accordingly.
- (3) While the purpose of this Policy is to enable STAT to investigate possible malpractice and take appropriate steps to deal with it, you will be given as much feedback as is proper in the circumstances. If requested, written confirmation will be sent to you. However, it may not be possible to tell you the precise action that has been/will be taken where this would infringe a duty of confidence owed by STAT to a third party.

4 How to raise a concern internally

- (1) If you have a concern about malpractice, it should be raised first with one of the STAT Lead Directors. This may be done orally or in writing.
- (2) If you feel unable to raise the matter with a STAT Lead Director, for whatever reason, please raise the matter with a member of the Preliminary Investigation Committee.

Please say if you want to raise the matter in confidence so that appropriate arrangements can be made.

- (3) If these channels have been followed and you still have concerns, or if you feel that the matter is so serious that you cannot discuss it with any of the above, please contact:

The Chair or Secretary of STAT.

5 If you are dissatisfied

- (1) If you are unhappy with the initial response you get, remember you can go to the other levels and bodies detailed in this policy. Whilst it may not be possible to respond to all matters in the way that you might wish, STAT will try to handle the matter fairly and properly.