



Whistleblowing Policy

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Version	Amendment	Pages	Date	Who
1	Annual review	all	May 23	SK
2	Update of process	all	Jan 23	SK

I. INTRODUCTION

Castleview Group (CVG) is committed to the highest standards of openness, probity, and accountability.

An important aspect of accountability and transparency is having a mechanism to enable our staff to voice concerns in a responsible and effective manner. It is a fundamental term of every contract of employment that an employee will faithfully serve their employer and not disclose confidential information about the employer's business.

Nevertheless, where an individual discovers information which they believe shows serious malpractice or wrongdoing within the organisation then this information should be disclosed internally without fear of reprisal, and there should be arrangements to enable this to be done independently of line management

Applies to:

All Employees, Learners, Associate Staff, and Partners. This policy applies to all staff however these policies and procedures do not form part of your terms and conditions and can be changed at any time as we deem appropriate.

Context

The Public Interest Disclosure Act 1998 gives legal protection to employees against being dismissed or penalised by their employer because of reporting certain serious concerns. CVG has endorsed the provision set out below to ensure that our people will not feel at a disadvantage as a result of raising legitimate concerns.

It should be emphasised that this policy is intended to assist individuals who believe they have discovered malpractice or impropriety. It is not designed to question financial, or business decisions taken by the company, nor should it be used to reconsider any matters which have already been addressed under harassment, complaint, disciplinary or other procedures.

This policy aims to offer guidance to facilities and support stakeholder including learners, employees, associate staff and partners to safely raise a complaint or concern.

II. POLICY STATEMENT

It is important to CVG that any fraud, misconduct or wrongdoing by colleagues, workers or officers of the organisation is reported and properly dealt with. We therefore encourage all individuals to raise any concerns that they may have about the conduct of others in the business or the way in which the business is run.

This policy sets out the way in which individuals may raise any concerns that they have and how those concerns will be dealt with.

The law provides protection for workers who raise legitimate concerns about specified matters. These are called "protected disclosures". A protected disclosure is one made in the public interest by a worker who has a reasonable belief that:

- A criminal offence
- A miscarriage of justice
- An act creating risk to health and safety
- An act causing damage to the environment
- A breach of any other legal obligation
- Concealment of any of the above

is being, has been, or is likely to be, committed. It is not necessary for colleagues to have proof that such an act is being, has been, or is likely to be, committed - a reasonable belief is sufficient.

CVG encourages all colleagues to raise their concerns under this procedure in the first instance. If colleagues are not sure whether or not to raise a concern, they should discuss the issue with their line manager or the HR department.

In cases that concern an employee personally or the individual with a complaint that does not qualify as a protected disclosure the Grievance procedure will be adhered to.

Principles

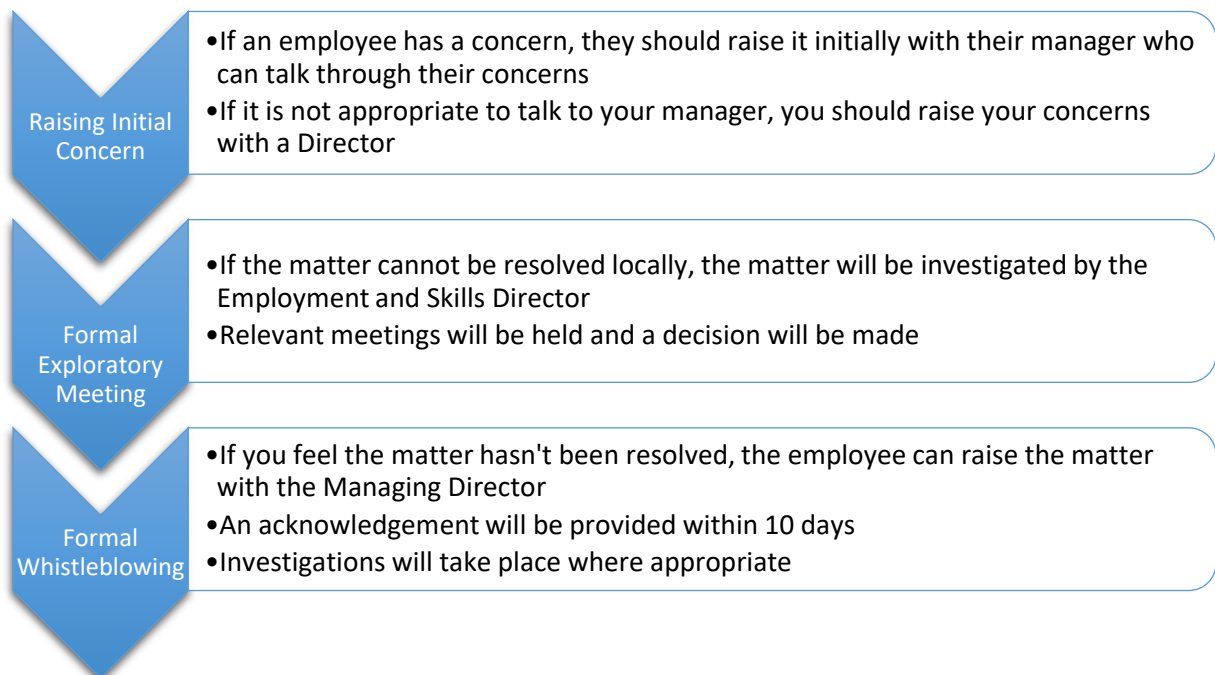
The key principles for whistleblowing are:

- Everyone should be aware of the importance of preventing and eliminating wrongdoing at work. You should be watchful for illegal or unethical conduct and report anything of that nature that you become aware of
- Any matter raised under this procedure will be investigated thoroughly, promptly and confidentially, and the outcome of the investigation reported back to the person who raised the issue
- No one will be victimised for raising a matter under this procedure. This means that your continued employment and opportunities for future promotion or training will not be prejudiced because you have raised a legitimate concern

- Victimisation of a colleague for raising a protected disclosure will be a disciplinary offence
- If misconduct is discovered as a result of any investigation under this procedure our disciplinary procedure will be used, in addition to any appropriate external measures
- Maliciously making a false allegation is a disciplinary offence
- An instruction given to you to cover up wrongdoing is itself a disciplinary offence. If you are told not to raise or pursue any concern, even by a person in authority such as your Line Manager, you should not agree to remain silent. You should report the matter to a Director

III. CONTENT

Making a Disclosure



The policy is designed to offer guidance to those who disclose such concerns.

When making a disclosure, individuals must ensure:

1. It is made in good faith. If an individual makes an allegation in good faith, which is not confirmed by subsequent investigation, no action will be taken against the individual.
2. Reasonably believe malpractice or impropriety is evident. In making a disclosure the individual should exercise due care to ensure the accuracy of the information.

3. If an individual makes malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against the individual. It is important to note that no protection from internal disciplinary procedures is offered to those who choose not to use the whistle blowing procedure. In an extreme case, malicious or wild allegations could give rise to civil action by the person complained about.
4. Disclosure is delivered confidentially and in a sensitive manner, by following the process described in this policy. The identity of the individual making the allegation may be kept confidential, so long as it does not hinder any investigation. However, the investigation process may reveal the source of the information and the individual making the disclosure may need to provide a statement as part of the evidence required.
5. The disclosure is made in writing, even if the initial contact is by telephone. If you are worried about doing this, we would prefer you to provide an anonymous disclosure to us, rather than not raise a concern about malpractice at all. We may need to disclose your identity where we are required to do so, for example, by law, but we take the issue of maintaining the confidentiality of whistle-blowers seriously and we will protect your identity as far as possible.

Reporting in Good Faith

If you make an allegation in good faith, but it is not confirmed by investigation, no action will be taken against you. If, however, you make allegations that are malicious or simply to cause anger, irritation or distress, disciplinary action may be taken against you.

Who should I contact?

We recognise that, due to the potential sensitivity of the situation, you may not always feel comfortable about discussing your concerns internally. As soon as you become aware of any suspected wrongdoing, you should notify the matter to one of the people below:

- Your Line Manager
- Your Director

Or, in situations where you feel uncomfortable in approaching these people, as you feel that they may not manage your issue appropriately or this would serve no purpose:

- The Employability and Skills Director
- The Managing Director
- The Chair of the Board

Concerns raised under this policy will relate to our colleagues but may also relate to the actions of a third party, such as a supplier. It may be appropriate for you to raise your concerns directly with the third party where you believe that the wrongdoing identified or suspected

relates solely or mainly to their conduct or is a matter which is their legal responsibility. However, you should consult your director before speaking to any third party.

Who can use the reporting process?

This policy can be used by any employee, learner, associate staff, and partners. In addition, suppliers, shareholders, customers and other third parties may also use this policy to report suspected wrongdoing.

Learners

Learners will be informed of the whistle blowing process, when and how it might be used at their induction. Learners if appropriate, should disclose their concerns to the tutor or alternatively a member of the management team, who will alert a member of the Leadership Team.

How do I speak up and what information should I provide?

You can raise your concerns by email, orally or in writing, stating that you are using the Whistle Blowing Policy.

You should be prepared to provide the information below:

- An outline of the known or suspected wrongdoing
- Details, to the best of your knowledge, about when, where and how it occurred
- A list of the names of those suspected of being involved (both within Informa and externally)
- A list of the names of anyone who may have relevant information
- Details of how you came to know about the suspected activities
- What, if any, do you estimate to be the value of the loss to Informa or other parties
- What, if any, breaches of internal controls, policy, procedure or other requirements you believe took place
- Any specific recommendations you have for actions
- The names of anyone who you have discussed or reported this incident to
- Your name and contact details. Please note – these will be kept confidential as far as is reasonably practicable
- The date and time of making the report

You will not be expected to prove the wrongdoing that you believe you have witnessed or suspect.

Anonymity

We understand that disclosures made under this policy may involve highly confidential and sensitive matters and that you may prefer to make an anonymous disclosure. When this is

the case, we will endeavour to investigate your concerns fully, although a full investigation may be impeded if we cannot obtain further information from you.

What happens following speaking up?

The person you contact will acknowledge receipt of your concern within 3 working days and reply to your contact to discuss the next steps with you. If you attend any meetings as part of this process, you may choose to be accompanied to this meeting by a work colleague or recognised Trade Union Representative.

The person managing the meeting may report the incident to other internal departments. For example, in a case of suspected fraud, the Finance Director will be informed. Please be assured that these matters will always be kept confidential and where possible, the details of the person or persons reporting the incident will be removed.

Investigation

We will decide how to respond in a responsible and appropriate manner under this policy. An investigation will be conducted as speedily and sensitively as possible in accordance with all relevant laws and regulations. If appropriate, you will be regularly informed on the progress of these investigations and any action to be taken. The purpose of this investigation is:

- To establish if a wrongdoing has occurred, and if so to what extent; and
- To minimise the risk of further wrongdoing, to prevent any further loss of assets, damage to reputation and to protect all sources of evidence

We will endeavour to handle investigations as fully, promptly and fairly as possible. As far as reasonably practicable, the confidentiality of the person reporting the suspected wrongdoing will be maintained.

It is not possible to set a specific timeframe for completion of investigations in advance, as the diverse nature of potential disclosures makes this unworkable. Most investigations will be managed internally but we may appoint an external investigator or investigating team if we think it appropriate.

Any person found to be involved in any wrongdoing will be subject to investigation using the local disciplinary procedure (in the case of employees) or may have their SLA terminated (in the case of associates). Where it is believed that criminal activity has taken place, the matter may be reported to the police and appropriate legal action taken. Discussions may need to also take place with other external agencies such as Customs and Excise, Department of Work and Pensions, Inland Revenue.

If you feel you have been unfairly treated by your whistleblowing you should raise this with a Director or member of the Board. However, if you have reported your concern anonymously you may find it harder to argue that your unfair treatment was because of your whistleblowing. In extreme circumstances reporting unfair treatment internally is not

possible, you may wish to contact the Advice, Conciliation and Arbitration Service (ACAS) <http://www.acas.org.uk> on 0300 123 1100

The person who carried out the investigation will then report to the Board, which will take any necessary action, including reporting the matter to any appropriate government department or regulatory agency. If disciplinary action is required, the person investigating will follow Company policy and the disciplinary procedure will be invoked. On conclusion of any investigation, the individual will be told the outcome of the investigation and what the Board has done, or proposes to do, about it. If no action is to be taken, the reason for this will be explained. However, the Company will not be able to inform the individual of any matters which would infringe the duty of confidentiality owed to others.

Reporting Allegations of Fraud

Fraud means any theft or other misappropriation of money or property. All actual or suspected incidents of fraud should be reported without delay to your line manager who must then notify the Finance Director.

All cases involving suspected fraud, will be investigated in line with our Fraud Prevention Policy.

IV. DEFINITIONS

Whistleblower – a person who informs on a person or organisation regarded as engaging in an unlawful or immoral activity.

Vexatious allegations – any complaint, concern or claim made which:

- Clearly does not have any serious purpose or value
- Is designed to cause disruption or annoyance or create disproportionate inconvenience or expense
- Has the effect of harassing colleagues
- Can otherwise fairly be characterised as obsessive or manifestly unreasonable

Malicious allegations – any complaint, concern or claim made where:

- There is evidence of intention to do harm or mischief, either explicit or implied
- In the absence of any clear evidence, it is reasonable to assume the complainant intended to do harm or mischief
- A genuine complaint seeks redress, malice might be implied where it is clear that no redress is sought

An allegation should not be deemed malicious simply because:

- It threatens harm or mischief (e.g., to bring CVG into disrepute) if demands for redress remain unsatisfied
- It may lead to outcomes which might be embarrassing to the company or bring the us into disrepute
- There is no obvious request for redress is stated