

PROCEDURES FOR RAISING CONCERNS

1. Introduction

The University endeavours to operate with integrity, diligence and to act in line with all relevant laws and regulations, but recognises that it may occasionally fail to meet the high standards which it expects, and which it may be reasonably expected by others, to achieve.

The University has therefore established procedures through which concerns can be raised and acted upon.

2. Staff Grievances

Members of staff should raise work-related concerns through the relevant procedures associated with the People and Organisational Development Policy Statement.

3. Complaints by Students and Members of the Public

Individuals other than members of staff who believe that they have been subjected to an inadequate level of service, mistreatment or mal-administration by the University or by individuals associated with the University are encouraged in the first instance to raise the matter with the School or Professional Support function involved in order to address the situation, and where this does not result in a satisfactory resolution, to follow the University's complaints handling procedures.

Separate arrangements are in place for students wishing to appeal academic assessments or disciplinary matters.

4. Fraud, Bribery, Corruption and Other Serious Concerns (Public Interest Disclosures)

Concerns relating to matters falling within the scope of the Accountability Code of Practice should be reported to the Director of Corporate Support, the University Solicitor or the Head of Internal Audit Service, directly or through the general e-mail address at speak.up@uws.ac.uk.

Matters relating to fraud or other forms of financial malpractice will normally be directed to the Head of Internal Audit Service.

If for any reason, individuals wishing to report a concern consider that the involvement of any of the above would be inappropriate, concerns should be reported to one of the following:

- Principal & Vice-Chancellor
- Chair of Court
- Chair of Audit & Risk Committee.

It is important that individuals report concerns at the earliest opportunity. It is not necessary to provide evidence of the basis of the concern, but the disclosure should contain as much detail as possible of the grounds for the concern, including the names of any individuals involved, dates, locations or events.

Individuals should not initiate their own investigations or take any other actions that might alert those to whom the concern relates and result in the destruction or corruption of any evidence of wrongdoing.

The University will address any concerns raised through this route using the Response Plan.

5. Research Misconduct

Academic misconduct falls within the scope of the Accountability Code of Practice and concerns should be raised as outlined above. However, concerns regarding compliance with Research Ethics practices are addressed through separate procedures and should be directed to the Chair of the University Ethics Committee.

6. External Disclosures

It is rarely appropriate for concerns to be raised directly with parties external to the University and such an approach is strongly discouraged unless all applicable internal channels under this procedure have been exhausted.

While the Public Interest Disclosure Act 1998 does provide some continuing employment related protections for individuals making disclosures to third parties, conditions apply both in respect of the content of any disclosures and the organisations to which the disclosures are made.

Further independent information and guidance is available from the whistleblowing charity Public Concern at Work (www.pcaw.org.uk).

Procedure Author – Head of Internal Audit Service	Procedure Owner – Director of Corporate Support
Parent Policy Statement - Accountability Code of Practice	Public Access or Staff Only Access – Public
Version 1 – 23 rd April 2018	Changes and Reason for Changes – New Procedure to align to new Code of Practice