

# UKATA

## WHISTLEBLOWER POLICY

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## **Contents**

1. Introduction
2. Purpose
3. Scope
4. Reporting Concerns
  - 4.1 Who Can Report
  - 4.2 How to Report
  - 4.3 Information Required
5. Confidentiality
6. Investigation process
  - 6.1 Initial Review
  - 6.2 Investigation
  - 6.3 Outcome
7. Protection for Whistleblowers
8. Communication
9. Review Process
  - 9.1. Request for Review
  - 9.2. Review
10. Policy Review

## **1. Introduction**

UKATA is committed to the highest standards of ethical conduct and integrity in all its activities. We encourage anyone, including but not limited to associated individuals and organisations such as members, tutors, associates, third-party agents, auditors, directors, and staff, to report any instances of unethical behaviour, misconduct, or violations of laws or regulations. This policy outlines the procedure for reporting such concerns and ensures protection for whistleblowers.

## **2. Purpose**

The purpose of this policy is to:

- Provide a clear and confidential process for reporting concerns.
- Ensure that whistleblowers are protected from retaliation or victimisation.
- Encourage openness and accountability within UKATA.

## **3. Scope**

This policy applies to all individuals, whether they are directly associated with UKATA or not. It covers concerns about unethical behaviour, misconduct, or violations of laws or regulations within UKATA or by its members, tutors, associates, third-party agents, auditors, directors, and staff.

## **4. Reporting Concerns**

### **4.1 Who Can Report:**

- Any individual or organisation may report concerns, including members, tutors, associates, third-party agents, auditors, directors, staff, and the general public.

### **4.2 How to Report:**

- Concerns should be reported in writing to the Chief Operating Officer (COO) of UKATA:  
Office 2, Markham Vale Environment Centre  
Markham Lane, Markham Vale  
Chesterfield, S44 5HY  
[craig.evans@ukata.org.uk](mailto:craig.evans@ukata.org.uk)
- If the concern involves the COO, it should be reported in writing to the Chair of UKATA. Contact details for the Chair of UKATA can be requested via the main office.

### **4.3 Information Required:**

- Reporter's name and contact details (anonymous reports are accepted but may limit the ability to investigate).
- Detailed description of the concern, including dates, times, and any supporting evidence (e.g., emails, documents).

## 5. Confidentiality

- UKATA will handle all reports with the utmost confidentiality. The identity of the whistleblower will be kept confidential unless required by law or if the whistleblower provides written consent for disclosure.

## 6. Investigation Process

### 6.1 Initial Review:

- The COO will conduct an initial review of the report to determine its validity and whether further investigation is required. If the concern involves the COO, the Chair of UKATA will conduct the initial review. The possible outcomes of this review include:
  - **Valid Report:** The report is considered valid and warrants further investigation.
  - **Invalid Report:** The report is considered invalid due to lack of evidence, insufficient details, or it does not fall within the scope of UKATA's whistleblower policy.
  - **Referral:** The report may be referred to another appropriate authority or organisation if it falls outside UKATA's jurisdiction.

### 6.2 Investigation:

- If the report is valid, an investigation will be carried out by the relevant department or an appointed investigator. The investigation may involve requesting additional information from the whistleblower and other involved parties.

### 6.3 Outcome:

- Based on the investigation, a decision will be made regarding the concern. Possible outcomes include:
  - No action required.
  - Corrective actions to address the concern.
  - Disciplinary actions against those involved in misconduct.
  - Referral to legal authorities if necessary.

## 7. Protection for Whistleblowers

- Whistleblowers reporting concerns in good faith will be protected from retaliation, harassment, or victimisation. Any form of retaliation against a whistleblower will be treated as a serious disciplinary offense.

## 8. Communication

- The whistleblower will be informed of the outcome of the investigation within ten business days of the decision being made. If the whistleblower is dissatisfied with the outcome, they may request a review by a member of the Board of Directors.

## **9. Review Process**

### **9.1 Request for Review:**

- If the whistleblower is dissatisfied with the handling of the report, they may request a review by writing to a member of the Board of Directors, providing the report reference number and reasons for dissatisfaction.

### **9.2 Review:**

- A Director will conduct the review and provide a final decision within ten business days of the request. The outcome of the review will be communicated to all parties involved within two business days.

## **10. Policy Review**

This whistleblower policy will be reviewed annually and updated as necessary to ensure it remains effective and in line with best practices and legal requirements.