

**Transparency Policy**

**Part 1**

* 1. The University of Wolverhampton’s (“the University”) core values are to act in a manner which is ethical, respectful, transparent, inclusive and fair, challenging, confident, collaborative and professional. The University will act honestly, ethically, transparently and within the law. The University is also under a duty to account for the proper use of public funds and standards required in public life. The University is committed to the proper use of the University’s finances and all resources and endeavours to ensure transparent and accountable working practices for all in order to protect those finances and resources from misuse. You must ensure that you read, understand and comply with this policy.
  2. It is essential to good and effective governance of the University that you should act in an open and transparent manner. You are responsible for upholding the University’s high standards of legal, moral and ethical behaviour and should act with the utmost personal integrity at all times. The University is committed to carrying out its academic and business functions in a fair, honest, ethical and open manner.
  3. For the purposes of this policy, “University” refers to the University of Wolverhampton and its subsidiary companies and all other entities therein its subsidiary companies.
  4. For the purpose of this policy, “Resources” include, but are not limited to, money, staff, property, Information technology, Intellectual property.
  5. For the purposes of this policy the terms “you” “staff”, “employees” and “workers” refer to all persons employed by the University or who conduct work for or on behalf of the University, including permanent, fixed term, and temporary staff, governors, student workers (including work experience and graduate placements), secondees, any third party representatives, agency workers, volunteers, interns, agents and sponsors engaged with the University in the UK or overseas.
  6. The policy also applies to any other person associated with the University, who performs services for and on behalf of the University anywhere in the world. This includes the University's partners, agents, brokers, sub- contractors, representatives, distributors, consultants and other service providers. The University expects those persons to abide by this policy or have in place equivalent policies and procedures.
  7. To help communicate our expectations of others, this policy will be made available to our commercial and other partner organisations and disseminated to others with whom we work. This means in many cases the policy should be discussed with any party whom the University is considering conducting business with to ensure they understand the standards we must adhere to as an organisation.
  8. This policy should be read and used in conjunction with the University’s staff disciplinary procedure, or the equivalent in place by your employer, sub- contractor, agency, company, organisation or any other form of governing body.
  9. Any breach of this policy would constitute misconduct and depending upon the severity, would constitute gross misconduct, and may result in disciplinary action or breach of contract or fiduciary duties.
  10. This policy is adopted by the University’s Board of Governors which has overall responsibility for ensuring the University complies with its legal and ethical obligations. The University Secretary has responsibility for this policy and for dealing with any queries in relation to it.

# Part 2 Fraud

* 1. The University operates a zero tolerance policy in relation to fraud and will act to combat fraudulent activity wherever it is found.
  2. The Fraud Act 2006 covers;
     1. Fraud by false representation of fact, law or state of mind, either expressed or implied.
     2. Fraud by failing to disclose appropriate information.
     3. Fraud by abuse of position.

Fraud by False Representation

* 1. This relates to the conduct of an individual. This is when an individual is making a false representation, dishonestly, meaning they are aware that this representation might be untrue or misleading. Fraudulent misrepresentation may be suspected for example when the costs and expenditure are to be claimed back by an individual for work they have carried out for or on behalf of the University. If a higher amount than that which was actually paid is submitted for return, this would be a false representation made to the University. Fraudulent misrepresentation could also occur in circumstances where documents are signed off as inspected and have not actually been verified, or even if they are signed with a false signature if the individual does not have the authority to sign such documents.
  2. Other examples of fraud by false representation include but are not limited to, false accounting and any other form of malpractice or deception involving the Resources of the University. This could also include falsifying timesheets and gaining equipment without proper authorisation.

Fraud by Failure to Disclose

* 1. This occurs when appropriate information remains undisclosed to another person, whilst the individual is under a legal duty to disclose that information.
  2. You may suspect such failures for instance, when you are aware another staff member has been overpaid but they have not bought it to the attention of another in order to rectify the payment. This would be a clear failure to disclose appropriate information and the University would subsequently be at a loss as a result of fraudulent conduct.
  3. Other examples of fraud by failure to disclose include but are not limited to, failure to disclose criminal convictions, any conflict of interest, or any other information required by legislation or policy of the University.

Fraud by Abuse of Position

* 1. This occurs when an individual occupies a position in which they are expected to safeguard, or not to act against, the financial interests of the University. If they abuse their position dishonestly then they would be acting fraudulently.
  2. You may suspect fraud by abuse of position, if an individual uses their position to grant interviews and assign positions to unqualified family members. If such persons would not have otherwise been granted an interview or position, and the relationship between them was a defining factor in the decision, this would be a clear abuse of position.
  3. Fraud by abuse of position could also be suspected when offering contracts to suppliers, sub-contractors and other establishments. If contracts are offered to those persons whom an individual has a personal interest with rather than the more appropriate and financially reasonable alternative, then this would also indicate an abuse of position.
  4. Other examples of fraud by abuse of position include but are not limited to, money laundering, forgery, collusion, false accounting of external returns. The individual suspected of committing such acts of fraud as outlined above, may consequently cause a loss to another or to the University itself.
  5. The University will seek to prevent such activity by a variety of measures including;

1. Risk assessments to ensure a proportionate response is made to activities and areas at risk of bribery and fraud;
2. Internal controls, to prevent and detect irregularities;
3. A formal disclosure process to encourage staff to report anything suspicious; and
4. Regularly reviewing processes and controls.
   1. Although the University has measures in place to prevent fraudulent activity, you must be aware of signs that may potentially indicate a risk of fraud;
5. Staff always working late or unusual hours
6. Prime documents being lost and replaced by photocopies, or a lack of documentation
7. Reluctance of staff to take leave
8. Staff not interested in a promotion or further self-development
9. Unexplained wealth and sudden change in lifestyle
10. New staff resigning quickly
11. Suppliers/contractors insisting on dealing with a particular member of staff
12. Cosy relationships with suppliers/contractors/customers
13. Sudden changes in behaviour
    1. You are responsible for reporting any suspected or actual fraudulent behaviour or anything else that may appear suspicious or out of context. This can be done via [transparency@wlv.ac.uk](mailto:transparency@wlv.ac.uk) Failure to report known fraudulent activity could constitute a breach of this policy.

# Part 3 Anti-Bribery

* 1. The University has a zero-tolerance policy towards bribery and corruption of all kinds. In applying this part of the policy, the University is committed to observing the provisions of the UK Bribery Act 2010 (the "Bribery Act"). The conviction of a bribery offence would result in significant reputational and financial damage for the University. For the purposes of the Bribery Act, the University Secretary is the University's Bribery Act compliance officer.
  2. You are strictly prohibited from offering, promising or paying bribes; and requesting, agreeing to or accepting bribes.

Definition of a bribe

* 1. A ‘bribe’ includes money, gifts, hospitality or any other payment, advantage or favour. A bribe does not need to be a monetary sum; lavish hospitality, a gift or an offer of employment could all be used as bribes in particular circumstances. A bribe can be any form of improper inducement or reward offered, promised or provided in order for the recipient or another to gain or to be awarded any commercial, contractual, regulatory or personal advantage.
  2. A bribe does not need to be received or accepted, the act of offering, requesting, promising or agreeing to a bribe constitutes a breach of this policy and is an offence under the Bribery Act.
  3. The Bribery Act also contains a separate offence of bribing a foreign public official; as well as an offence that can be committed by organisations of failing to prevent bribery by any person performing services for or on behalf of the organisation.

Managing Risks

* 1. The University will complete a risk assessment of its activities and take proportionate action to reduce the risk of bribery. The possibility of bribery can arise across a wide range of the University's activities and dealings with third parties. These include, but are not limited to;

1. Procurement processes for products or services the university purchases
2. Where University staff are working in higher risk jurisdictions on academic or commercial activities
3. In connection with student recruitment or the award of degrees
4. Where the University is in partnership or a commercial venture with another organisation or a company that may perform services for the benefit of the University
5. Where gifts and donations are made to or from the University or its staff
6. In dealings with non UK public officials which could include those working at state owned or controlled enterprises or other overseas educational institutions or bodies.
   1. It may be necessary to impose additional measures to those areas of the University whose functions have been deemed as higher risk, following completion of the assessment of activities.
   2. You are expected to complete anti-bribery training in order to enable you to be alert to bribery indicators, and to report any concerns that may arise during the course of your activities for or on behalf of the University. Such indicators may include, but are not limited to;
      1. Becoming aware that a third party engages in, or has been accused of engaging in, improper business practices or has a reputation for offering and accepting bribes;
      2. Receiving a request to enter into a relationship involving the exchange of goods, services or favours without a formal written contract or being asked to informally amend terms of a contract, or where discussions appear to be improper;
      3. A third party requesting payment in cash and/or refuses to sign a formal commission or fee agreement, or to provide an invoice or receipt for a payment made; or receiving an invoice from a third party that appears to be non-standard or customised or relates to a country or geographic location different from where the third party resides or conducts business;
      4. A third party requesting an unexpected additional fee or commission to "facilitate" a service or demanding lavish entertainment or gifts before commencing or continuing contractual negotiations or provision of services;
      5. Being offered an unusually generous gift or offered lavish hospitality by a third party;
      6. A request that a payment is made to "overlook" potential legal violations;
      7. A request that procurement protocols be overlooked in order to speed up or simplify the process
      8. A request to provide employment or some other advantage without following the set procedures as required
      9. Payment to secure a place on a course or to amend personal details to assist obtaining a place on a course;
      10. A request to amend details or documentation held in order to bypass United Kingdom Visa and Immigration (UKV&I) regulations;
      11. A request to informally amend payroll details or to increase pay scales without the prescribed authorisation;
      12. Noticing that the University has been invoiced for a commission or fee payment that appears large given the service stated to have been provided;
      13. A third party requesting or requiring the use of an agent, intermediary, consultant, distributor or supplier that is not typically used by or known to the University; and
      14. Informal or improper discussions regarding charitable donations.
   3. You should familiarise yourself with these bribery indicators so that you are alert to risks that may be relevant to your work at the University.

Gifts and hospitality

* 1. “Gifts” include any token of appreciation and gratitude, gift vouchers, cash, physical gifts (e.g. a bottle of wine) or other items of value (e.g. sports tickets) whether offered, given or received.
  2. “Hospitality” and “Entertainment” can include any attendance at social events, conferences, functions, or other occasions, business lunches or drinks (whether they include a business purpose or not and whether received or offered) and any travel or accommodation provided in connection with the Hospitality and Entertainment.
  3. This policy does not prohibit modest Gifts and reasonable Hospitalit*y* (given and received) to or from third parties provided the requirements below are met.
  4. You should never;
     1. Offer, promise or give a Gift, Hospitality or Entertainment where this may be construed as a bribe or be otherwise improper;
     2. Request or agree to or accept a Gift, Hospitality or Entertainment where this may be construed as a bribe or be otherwise improper;
     3. Offer, promise or give a Gift, Hospitality or Entertainment to a public official where this may be construed as a bribe or an attempt to influence the public official in his/her capacity as such (remembering that public officials may include employees of state owned entities).
  5. All Gifts, Hospitality and Entertainment (whether given or received), must;
     1. Be approved in line with the limits given below
     2. Be proportionate and reasonable having regard to the recipient and not give rise to any ethical concerns and must have a genuine and legitimate purpose, such as the promotion of the University's services or to establish cordial relationships with those with whom we work;
     3. Not risk being perceived as lavish or excessive (for example, it should not include any unjustifiable "add-ons" such as the provision of travel, or entertainment of spouses or family members);
     4. Comply with all applicable local laws as well as the Bribery Act (if given or received outside of the UK) and comply with any other rules relevant to the recipient (such as their own organisation's policies in this area);
     5. Not be offered or received at an inappropriate time (such as during a competitive tender involving the recipient or in advance of another business decision the recipient is involved with), which might risk being perceived as improperly influencing the recipient;
     6. Never include cash or a cash equivalent, such as gift certificates or vouchers; and
     7. Be given openly, not secretly; and be correctly and transparently documented in the University's accounting and other written records.

Academic Activities (Admissions and Awards)

* 1. It will not be appropriate to accept any Gift or Hospitality from any third party who is concerned with, or has an interest in the recruitment or admission of a student or students to the University; or the award of any academic qualification or grading, by the University, of a student. This could be an offer made by the student themselves or by a third party, such as a relative or a recruitment agent.
  2. It will also not be appropriate to request or to accept a request for an award of an academic qualification outside of the University’s established procedures and in circumstances where the honour could be perceived as a bribe.

Approval and limits

* 1. Gifts (given or received);
     1. No approval is required for low value corporate memorabilia;
     2. No approval is required for nominal Gifts with a value of less than £20 provided there are no more than three similar occurrences per year. These should however be recorded on your annual declaration of interests form;
     3. Gifts with a value greater than £20 but less than £50 should be recorded on the University’s Gifts, Hospitality and Entertainment Register;
     4. Gifts above £50 should not be given or accepted by an individual and should be declined and then reported to the University Secretary;
     5. Gifts with a greater value than £50 but less than £100 given to a team may be given or accepted as long as the individual share is within the parameters above and the University Secretary has been notified.
     6. All Gifts, other than low value corporate memorabilia given or received outside of the UK must be approved by the University Secretary. A link to the gifts received and given forms can be found in Appendix A.
  2. Hospitality or Entertainment (given or received);
     1. No approval is required for low value Hospitality that may form part of a standard meeting such as drinks, light lunches;
     2. No approval is required for Hospitality or Entertainment with a value of less than £20, provided there are no more than three similar occurrences per year. These should be recorded on your annual declaration of interests form;
     3. Hospitality or Entertainment with a value greater than £20 but less than £75 should be recorded on the University’s Gifts, Hospitality and Entertainment Register. A link to the Hospitality received and given forms can be found in Appendix A;
     4. Hospitality or Entertainment worth more than £75 should not be given or accepted without the prior permission from the University Secretary;
     5. Hospitality or Entertainment with a greater value than £75 but less than £200 may be given or accepted by a team as long as the individual share is within the parameters above and the University Secretary has been notified;
  3. No lavish Hospitality or Entertainment should be accepted outside of the UK without approval from the University Secretary.

Gifts, Hospitality & Entertainment Registers

* 1. The Office of the University Secretary holds the University Gifts, Hospitality and Entertainment Register (the “Register”).
  2. Details of Gifts, Hospitality and Entertainment offered to those working for the University but refused, should also be recorded in the Register along with details of the circumstances surrounding their refusal. This information may be used to determine whether the policy is being adhered to by suppliers/partners.

Foreign public officials

* 1. Under the Bribery Act, there are special rules regarding bribery of a ‘Foreign Public Official’, which require the exercise of particular caution when dealing with public officials.
  2. You should have particular consideration as to what is an acceptable level of Gift, Hospitality or Entertainment to offer public officials in order to ensure that it could not be construed as an intention to influence the public official.
  3. Foreign Public Officials include a wide range of people who have influence over the conduct of state institutions or the management of state assets, as well as the management of international institutions and those who work for state owned entities, such as a higher education funding or grant-giving body outside of the UK or an overseas university.

Facilitation payments

* 1. Facilitation payments are typically small unofficial payments paid to speed up an administrative process or secure a routine government action by an official, which are not necessarily considered bribery under local law or custom. They are more common in certain overseas jurisdictions in which we operate, but it is possible that they could arise in the UK.
  2. These payments are bribes under UK law and the University adopts a zero tolerance approach to demands for facilitation payments.
  3. In very exceptional circumstances, if you are at risk of violence or loss of liberty, or there is a threat to personal safety, you should not refuse a demand for a facilitation payment. It may then be necessary to make the payment. Take a detailed note of what happened and report the incident as soon as practicable.
  4. Any demand for a facilitation payment should be reported immediately to the University Secretary and to your line manager.
  5. Facilitation payments should be contrasted with official, lawful payments (typically to an organisation rather than an individual) to expedite certain

functions for instance, where there is a choice of fast track services available to obtain documentation.

Responsibilities

* 1. The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for or associated with the University. You are required to avoid any activity that risks a breach of this policy.
  2. You must notify your manager and the University Secretary as soon as possible if you believe or suspect that a conflict with this policy has occurred, or may occur in the future. This includes notification of any demand for a facilitation payment.
  3. The University will seek to prevent such activity by a variety of measures including;
     1. Risk assessments to ensure a proportionate response is made to activities and areas at risk of fraud;
     2. Internal controls, to prevent and detect irregularities;
     3. Staff awareness and training; and
     4. Reviewing training needs and improving internal controls accordingly.

# Part 4 Staff Interests

* 1. The University seeks to avoid actual and potential conflicts of interest where possible. The University will declare all actual and perceived interests and take appropriate action to manage any potential conflict. Regardless of position or seniority you are under a duty to disclose interests to ensure that the University can act in a manner which is consistent with these values.
  2. Due to the diverse nature of University activities, there may be situations where you are in a position where an outside interest may conflict, or appear to conflict with your duties. You must take proper care to prevent any conflict of interest that may arise from your activities outside of the University, including members of or connection with other bodies/Companies and individuals outside the University.
  3. If you have a pecuniary, family or other personal interest, direct or indirect, in any contract, or proposed contract, entered into on behalf of the University you must declare this interest to the University Secretary. For the purposes of this policy family includes; Spouses, partners, siblings (and their partners), children, parents, grandparents, grandchildren, cousins, aunts and uncles. This includes step relations.
  4. An interest might cause a conflict if the situation is one;
     1. That influences, may influence or may give a perception that it influences your ability to make an unbiased decision in the performance of an individual's duties for the University;
     2. Where you promote or pursue, or may be perceived as promoting or pursuing, your own interests ahead of those of the University;
     3. Where you use, or may be perceived as using your position with the University, University Resources, the University’s name or reputation, for personal gain or purposes which are not in the interests of the University or which may damage the University’s reputation;
     4. Where your professional position means you cannot act in certain circumstances.
  5. A conflict of interest can therefore be both perceived or actual. Its existence does not necessarily arise due to unethical or unlawful behaviour, it may just be a coming together of circumstances. For example;
     1. A director of service engages the services of a third party but fails to disclose he owns shares in that company;
     2. A daughter-in-law of a senior member of University staff works at a legal firm and submits an expression of interest for the provision of legal services to the University;
     3. Using information or resources gained from your position within the University to obtain a personal advantage.
  6. The important matter is not how the conflict arose, but what impact this conflict may have or be perceived to have. It is essential that actual or potential conflicts of interest are brought to the immediate attention of your line manager and the University Secretary so that a determination can be made as to what action should be taken to manage the conflict or if appropriate, avoid the conflict.
  7. The University manages declaration of interests in the following ways:
     1. Completion of an annual declaration of interest form: Each year the University requires all members of staff to complete a declaration of interests form (link can be found in Appendix A) to identify any potential conflicts of interest. This will be a mandatory part of both the probationary and appraisal processes for all staff. Additionally, the Offices of the University Secretary will collate those of the Corporate Management Team.
     2. Ad-hoc disclosures: Staff are additionally required to disclose any interest as and when it occurs to the University Secretary. A link to the Interim Staff Disclosure form can be found in Appendix A.
     3. Tender declarations: Those staff who are involved in the tendering of goods and services will be required to complete a tender specific declaration.
  8. The University Secretary’s office will liaise with your line manager and Dean or Director to determine if any conflict may exist, taking into account the nature of the interest and your role. The University Secretary will make an assessment of the risk to establish if a conflict exists and advise accordingly.
  9. You are reminded that you must not do any work, enter into any transaction or do anything else that may be affected by the interest until a decision has been made by the University Secretary.
  10. It is not the intention to unnecessarily limit your ability to have other interests. In some instances the University may encourage you to pursue outside interests in your field in order to develop your knowledge and skills, particularly where it would benefit the University community. When interests such as these are disclosed, guidance can be provided and your line manager will ensure the interest is managed and does not present a conflict.
  11. In order to manage the interest the University Secretary may decide upon any of the following courses of action;
      1. Avoidance: the conflict, perceived or actual, could be avoided, for example you do not participate in the planned action;
      2. Disclosure: disclosing the conflict to all parties involved and being fully transparent may allow the interest to be managed;

1 <http://www.wlv.ac.uk/about-us/governance/legal-information/policies-and-regulations/>

* + 1. Stepping back: stepping back may be appropriate, for example, if a relative applies for a job, you could step back to ensure you are not involved in or in a position to influence any decision;
    2. Refusal: in some circumstances refusing to act may avoid the conflict.
  1. This list is non-exhaustive and it may be possible to combine a number of the above actions to appropriately manage an interest.
  2. Failure to disclose an interest which could result in a potential conflict would be a breach of this policy.
  3. You must ensure that you take care not to solicit or recommend any person for employment by the University or for admission to it, other than through the proper procedures and must disclose if a candidate is related to you when providing references.

# Part 5 Information Technology

* 1. The University Network resources are provided for use in furtherance of the mission of the University, for example to support a course of study, research or in connection with your employment with the University.
  2. The University’s Acceptable IT use policy is a comprehensive document which details all of your responsibilities. Any breach of that policy can be investigated under the framework of both the University’s Information Security policy and this policy. Below is a reminder of some of your responsibilities. You should read the Acceptable IT policy in full alongside this policy.
  3. You must take reasonable precautions to safeguard any IT credentials (for example username, password, email address, smart card or other identity hardware) issued to you. You should not allow anyone else to use your IT credentials. No person has the authority to ask you for your passwords, and you should therefore not disclose this information to anyone.
  4. Sharing your username and password to allow access to the University network resources is not acceptable IT use and would constitute a breach of this policy. You must also not attempt to obtain or use anyone elses credentials, or impersonate someone else or otherwise disguise your identity when using the University network resources.
  5. You are also responsible for the security of computing facilities and network resources and any other data contained or hosted on them and must not act in a way which causes harm to them. You should therefore ensure that you log off or lock any computing facilities or database resources when they are not being used.
  6. You must not act in such a way which may contravene any related legislation, including; Viewing, creating, transmitting or storing material which could be considered, offensive, obscene, indecent t, abusive, harassing, derogatory or defamatory, material related to proscribed organisations or material which is at risk of drawing people into making the transition from extremism to terrorism and/or adversely affect the reputation of the University.
  7. You must not do anything to jeopardise the integrity of the IT infrastructure, such as damaging, reconfiguring or moving equipment without approval; deliberately recklessly or negligently introducing viruses malware or botnets; attempt to disrupt or circumvent IT security or network protection measures; export data without authority.
  8. The University data may only be stored in external storage with the prior permission of the University Secretary. The University Secretary will maintain a record of the data export and storage arrangements authorised by the University.
  9. If you are handling personal, confidential or sensitive information you must take all reasonable steps to safeguard the information and must observe the University’s Data Protection and Information Security policies and guidance. Protected and highly confidential information should not be stored in personal cloud services such as dropbox. If your role is likely to involve handling protected information, you must make yourself familiar with and abide by the policies as stated above.
  10. You must not attempt to access, delete, modify or disclose information belonging to other people without their permission, or explicit approval from the University Secretary.
  11. Staff must also note that personal use of computing facilities is a concession and can be withdrawn at any time.

# Part 6

**Public Interests Disclosures**

* 1. As an educational establishment, the University falls under the provisions of the Public Interest Disclosure Act 1998 and consequently University employees are able to make disclosures about wrongdoing within the organisation without fear of reprisal.

Making a Disclosure

* 1. Under the Public Interest Disclosure Act 1998 employees are able to make disclosures about wrongdoing within their organisation to their employer so problems can be identified and resolved quickly within the organisation without any fear of mistreatment or reprisal.
  2. To make a disclosure under the protection of the Public Disclosure Act 1998 employees must make a qualifying disclosure. If an employee’s disclosure is not a qualified disclosure, it cannot be treated as whistleblowing and workers cannot claim the protection of the Act.
  3. To make a qualifying disclosure the employee must report their disclosure to the University. The onus is upon the worker to prove that their disclosure is (i) in the public interest and (ii) that their belief they are acting in the public interest is reasonably held. The Act does not provide a definition of the term “public interest” but it is unlikely that disclosures of a personal nature will satisfy a definition of public interest.
  4. To make a qualifying disclosure an employee may only make a disclosure of information which, in the reasonable belief of the worker making the disclosure, is made in the public interest and tends to show one or more of the following;
     1. that a criminal offence has been committed, is being committed or is likely to be committed,
     2. that a person has failed, is failing or is likely to fail to comply with any legal obligation to which he is subject,
     3. that a miscarriage of justice has occurred, is occurring or is likely to occur,
     4. that the health and safety of any individual has been, is being or is likely to be endangered,
     5. that the environment has been, is being, or is likely to be damaged,
     6. that there has been, is or is likely to be a serious failure to comply with the University’s Instrument, Articles and Bye-Laws,
     7. that there has been, is or is likely to be evidence of academic or professional malpractice,
     8. that there has been, is or is likely to be a serious conflict of interest,
     9. that there has been a breach or is likely to be a breach of the anti-slavery policy, or
     10. that information tending to show any matter falling within any one of the above sections (a) to (i) has been, is being, or is likely to be deliberately concealed.
  5. This belief need not be correct, but must be reasonably held at the time of the disclosure.
  6. This policy is not to be used by individuals seeking to challenge decisions already made by the University or to consider matters already dealt with via internal procedures, such as disciplinary matters.

Disclosure to external bodies

* 1. A disclosure should normally only be made internally to ensure there is no possible prejudice to the internal investigation process and to enable the University to address the nature of the disclosure.
  2. Under the Public Interest Disclosure Act 1998 there are limited circumstances where an employee who makes a disclosure to an external body relating to one of the matters covered by the Act may be protected from detriment or dismissal.
  3. In those limited circumstances, employees who are concerned about wrongdoing or failures can make disclosures to a person or body who are prescribed by the Secretary of State.

Following the Disclosure

* 1. Where disclosures are deemed to be unfounded, action will not be taken against any individual who has made a disclosure which was made in the public interest and that belief was reasonably held.
  2. The University will not tolerate any victimisation of a worker who has made a disclosure under this policy. The University takes allegations of victimisation extremely seriously. The University has a dignity at work policy, a staff grievance policy and a staff disciplinary policy which all staff must adhere to.
  3. Such victimisation would be a breach of this policy and appropriate action will be taken by the University against the perpetrator. If you are found to have victimised a colleague as a result of that colleague’s disclosure you may be found personally liable at an employment tribunal. This may be the case even where the colleague’s allegation was subsequently unfounded.
  4. Following a whistleblowing disclosure the University will follow the investigation route detailed in Part 7 below.

# Part 7 Disclosures & Investigations

* 1. You must report all actual or suspected breaches of this policy. If you are aware of such and fail to report it, you may be suspected of complicity and thereby subject to disciplinary procedures. If you suspect there may be a breach of this policy, the following guidance should be used:
  2. At the earliest stage, share your concern with your manager and you should also notify the University Secretary via [transparency@wlv.ac.uk.](mailto:transparency@wlv.ac.uk)
  3. If possible, try to safeguard any evidence. If appropriate and necessary, discreetly take copies of documents, maintain confidentiality. Do not discuss the matter with your colleagues.

Non qualifying disclosures

* 1. Students and other workers that are not employees of the University are not directly covered by the provisions of the Public Interest Disclosure Act. However, the University remains committed to ensuring the highest professional standards and urges such individuals with concerns that fit the criteria above in part 6 of this policy to raise their concerns via [transparency@wlv.ac.uk.](mailto:transparency@wlv.ac.uk)

Confidentiality of disclosers

* 1. The University will endeavour to treat any disclosures under this policy in a confidential manner. If appropriate, the identity of the person making the disclosure will remain confidential for as long as possible, provided this is compatible with a thorough investigation. However, the identity of the individual may need to be revealed at some stage during the investigation and the individual may need to make a statement for evidential purposes. If a criminal investigation ensues, the individual may be called as a witness in any proceedings.

Anonymous disclosures

* 1. Anonymous disclosures may be submitted however, you are encouraged to provide your name as the purpose of this policy is to promote transparency and discourage any fear of reprisal. It may also be more difficult to effectively address issues which are raised anonymously. It is also almost impossible to report back to anonymous disclosers the outcome of any investigation.

Making a Disclosure

* 1. Please ensure correspondence is marked “private and confidential” and the nature of the disclosure is detailed as objectively as possible, including the facts of the matter.
  2. All    disclosures    should    be    sent     to     the     University     Secretary via [transparency@wlv.ac.uk](mailto:transparency@wlv.ac.uk) . In circumstances where a disclosure involves or implicates the University Secretary, you must send your disclosure directly to the Vice-Chancellor. This should ordinarily be submitted in writing by post to the Vice Chancellor, Vice- Chancellor’s Office, MA Building, Wulfruna Street, Wolverhampton, WV1 1LY.
  3. Disclosures should be submitted in writing unless for disability reasons you are unable to do so. In these circumstances please contact the University Secretary or Vice-Chancellor by telephone on x2392.

Following Initial Disclosure

* 1. The Disclosure will be logged onto a register which is reported to the Audit committee regularly. The University Secretary is responsible for maintaining the register which is available for inspection, including the date of any complaint, the nature of any complaint in breach of this policy, potential cost to the University and status of the investigation. This register must be kept in accordance with the Data Protection Act 1998 and take into account the Freedom of Information Act 2000.

Investigation Stage 1

* 1. Stage one of an investigation being launched will be reached within 2 working days of receipt of the original disclosure. The type of allegation will be identified and matched with the relevant departments it concerns. If the disclosure is regarding a Human Resources matter only it will be handed over to the HR department to log and manage. HR will later confirm the outcome with the University Secretary. For all other allegations the University Secretary will liaise with the relevant faculty/department, where further details will be provided concerning the parties involved.
  2. The University Secretary will determine if there is a possible breach and notify the whistle blower in writing within 10 working days. If it is confirmed that there has been no breach of this policy, the outcome will be logged and reported at the next Audit Committee meeting, where they will consider if any further actions are to be taken. If there is a potential breach however, the Vice Chancellor and the Chair of the Audit Committee will be notified, and the investigation will progress to stage 2.

Investigation Stage 2

* 1. If multiple persons are involved or the issues raised involve complex facts internal auditors may be involved in the investigation. If internal auditors are not needed then the lead investigator will be appointed by the University Secretary for the internal investigation. If required the lead investigator may contact the University’s internal auditors for advice.
  2. The investigator will initially contact the faculty or department for further information. They will also contact any relevant departments they may need assistance from in specialist areas, this is likely to include departments such as HR or Legal.
  3. If an allegation is made against a named individual, at an appropriate point in the investigation the named individual will be informed of the allegation and supporting evidence in so far as the law will allow. The nature of the investigation will dictate at what point they will be informed. They will be given an opportunity to respond, so far as the law will allow.
  4. Interviews are then to be conducted with relevant parties, and any relevant evidence gathered. The investigator will then determine whether there was a breach of policy.
  5. If a breach of policy is determined then HR will take appropriate action. In both circumstances whether or not a breach has occured, there will be a review of the processes and procedures used. The issues concerned will also be assessed, and relevant preventions will be discussed to avoid such occurrences in the future. Agreed measurements will later be implemented.
  6. All relevant parties will be advised of the outcome, this will include the Vice Chancellor, Chair of the Audit Committee, HEFCE and the discloser.

Outcome of investigation

* 1. If you are unsatisfied with the outcome or the process of the initial or full investigation you may send your complaint to the Chair of the Board of Governors. This must be marked for the attention of Chair of the Board of Governors and sent to c/o Clerk to the Board, Offices of the Vice-Chancellor, MA Building, Wulfruna Street, Wolverhampton, WV1 1LY. Please mark correspondence as “private and confidential”. Complaints should ordinarily be submitted in writing unless for disability reasons you are unable to do so. In these circumstances please contact the Clerk to the Board on x3398.
  2. Upon receipt of such a report, the Chair in his absolute discretion shall decide the course of action to take and the form of response. Such a response will be provided within twenty eight working days upon receipt of the complaint and the Chair’s response will be final.

Other University Investigations

* 1. If evidence of a breach of this policy has arisen during the course of another University investigation, as result the individual conducting that investigation will make an immediate disclosure to the Offices of the University Secretary via [transparency@wlv.ac.uk](mailto:transparency@wlv.ac.uk) to enable a subsequent investigation to commence.

Police Investigation

* 1. If the Police decide to investigate the matter, all information held by the University in connection with the investigation and alleged crime will be made available to the Police.
  2. Disclosures of potential Money Laundering, Modern Slavery or any other acts which would require the Police or another organisation to investigate rather than the University, will be passed to the relevant body immediately and logged onto the register.

# Part 8

## Gifts Disbursement Policy

1. **Policy**
   1. Gifts, where refusal is not possible, and over a monetary value of £25 must be declared (see link in appendix A).
   2. These gifts will be donated to the Mayoral Charity of the relevant Council where the University of Wolverhampton has a campus. This will be rotated on an annual basis.
   3. A receipt from the relevant Mayoral Office will be requisitioned for auditing purposes.

# Part 9

**Relevant Legislation & Regulations & Policies**

Legislation

Computer Misuse Act 1998 Data Protection Act 1998 Fraud Act 2006

Freedom of Information Act 2000 Public Interest Disclosure Act 1998 UK Bribery Act 2010

Regulations (UKV&I) regulations

Policies

Acceptable IT Use Policy Staff disciplinary Policy Data Protection Policy Information Security Policy Modern Slavery Policy

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| --- | --- | --- | --- |
| **Version** | 2.0 | **Author** | University Secretary Department |
| **Approved date** | October 2017 | **Approved by** | Audit Committee |
| **Review date** | October 2018 |  |  |



**Appendix A – Links to forms to be completed electronically**

All forms must be completed electronically (links below) from your own email for auditing purposes and to ensure transparency. No third party should complete these on your behalf. When completed the forms automatically are sent to the [Transparency@wlv.ac.uk](mailto:Transparency@wlv.ac.uk)

[Staff Annual Declaration of Interest Form](https://forms.office.com/Pages/ResponsePage.aspx?id=y7Ig5ikBu0Se3aqm6QV1FP2AhSGOUARKlHOJqK--t-tURDZaTzlMUjgxNU1WNDVZQTFFSTg1SjBYSi4u)

[Interim Staff Interest Disclosure Form](https://forms.office.com/Pages/ResponsePage.aspx?id=y7Ig5ikBu0Se3aqm6QV1FP2AhSGOUARKlHOJqK--t-tUMVJBMjBBSjBIRU9CODJZT1NRM0VLQ1I2Si4u)

[Hosptality Given to a third party Form](https://forms.office.com/Pages/ResponsePage.aspx?id=y7Ig5ikBu0Se3aqm6QV1FPNWgEgoKU9KtUKEukvSBtVURExFUE9OQ1RVTU5VM1g0T09PRUM0Mk02NS4u)

[Hospitality Received from a third party Form](https://forms.office.com/Pages/ResponsePage.aspx?id=y7Ig5ikBu0Se3aqm6QV1FP2AhSGOUARKlHOJqK--t-tURTRLTUlVSVlEQldNMEdPVUtaT043SUZHSS4u)

[Gifts given to a third party Form](https://forms.office.com/Pages/ResponsePage.aspx?id=y7Ig5ikBu0Se3aqm6QV1FP2AhSGOUARKlHOJqK--t-tUMEtBSFJRWTAzNTlZOVBNN0tLTVBUNTNGUS4u)

ansparency Policy

Compliance Incident Plan

Staff Annual Declaration of Interest Form

Interim Staff Interests Disclosure Form

Hospitality Given to a third party Form

Hospitality Received from a third party Form

Gifts Given to a third party Form

Gifts Received from a third party Form

[Gifts Received from a third party Form](https://forms.office.com/Pages/ResponsePage.aspx?id=y7Ig5ikBu0Se3aqm6QV1FP2AhSGOUARKlHOJqK--t-tUQjhNM1FKQlpTSVlQSTVEQTFHSVNOUklJMy4u)

sparency Policy

Compliance Incident Plan

Staff Annual Declaration of Interest Form

Interim Staff Interests Disclosure Form

Hospitality Given to a third party Form

Hospitality Received from a third party Form

Gifts Given to a third party Form

Gifts Received from a third party Form