**Report of Suspected Fraud, Theft, Bribery, Money Laundering, Corruption or other irregularities, Breach of Financial Regulations**

**or related Serious Matter**

This document is to be used for the reporting of items categorised above. It is not for the reporting of matters of employment grievance, where HR policies and procedures apply. **All** reports made on these matters will be considered under the University’s Whistleblowing Policy (available in [Appendix 3 of the Financial Regulations - Raising Serious Concerns at Work: Whistleblowing](http://www.lancs.ac.uk/depts/finance/APPENDIX%203%20-%20Raising%20Serious%20Concerns%20at%20Work%20-%20Whistleblowing%20as%20at%20June%202018%20(AC%200719).docx)).

This procedure offers protection to those who disclose such concerns provided the disclosure is made:

* in good faith
* in the reasonable belief of the individual making the disclosure that it tends to show malpractice

if they make the disclosure as set out below.

No report that satisfies these conditions will result in dismissal or disciplinary action or any other form of detriment, including victimisation, for the complainant. Any acts of reprisal against or victimisation of a whistleblower shall be treated by the University as a serious disciplinary matter. If, however, after investigation, the disclosure is judged to have been made for malicious or frivolous reasons, the complainant may become the subject of disciplinary action.

The University encourages individuals to put their name to any disclosure they make. Anonymous complaints may be reported, investigated and acted upon, as the person receiving the complaint sees fit. In responding to an anonymous complaint the University will pay due regard to fairness to any individual named in the complaint, the seriousness of the issue raised, the credibility of the complaint and the prospects of an effective investigation and discovery of evidence.

If you have suspicions of inappropriate behaviour:

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| **Do**   * make a note of your concerns; * record all relevant details, such as the nature of your concern, the names of parties you believe to be involved, details of any telephone or other conversations with names, dates and time and any witnesses. Notes do not need to be overly formal, but should be timed, signed and dated. Timeliness is most important. The longer you delay writing up, the greater the chances of recollections becoming distorted and the case being weakened; * retain any evidence you may have. The quality of evidence is crucial and the more direct and tangible the evidence, the better the chances of an effective investigation; * report your suspicions promptly. In the first instance, report your suspicions to anyone in the list below | **Don’t**   * be afraid of raising your concerns. The Public Interest Disclosure Act provides protection for employees who raise reasonably held concerns through the appropriate channels – whistle blowing. You will not suffer discrimination or victimisation as a result of following these procedures and the matter will be treated sensitively and confidentially; * convey your concerns to anyone other than authorised persons. There may be a perfectly reasonable explanation for the events that give rise to your suspicion. Spreading unsubstantiated concerns may harm innocent persons; * approach the person you suspect or try to investigate the matter yourself. There are special rules relating to the gathering of evidence for use in criminal cases. Any attempt to gather evidence by persons who are unfamiliar with these rules may destroy the case. |

Your name: ..............................................................................................................................................

Your relationship with the University (current staff member/former staff member/supplier or other (please give details)):

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Your contact details: ...............................................................................................................................

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Date of report: ........................................................................................................................................

What is your concern and on what grounds?

*(Please note that the more detail given here, the more likely the issue can be properly investigated.)*

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Have you raised your concerns elsewhere (e.g. with your line manager?).

If so, what was the response?

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You would normally raise a concern with the primary contact listed below. If for some reason this was not appropriate or possible, an alternative contact would consider the issue in confidence.

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|  | **Primary Contact** |
| Suspected fraud, breach of financial regulations or money laundering activity. | Sarah Randall-Paley  Director of Finance  Lancaster University  University House  Bailrigg  Lancaster LA1 4YW  Telephone: 01524 594977  Email: [s.randall-paley@lancaster.ac.uk](mailto:s.randall-paley@lancaster.ac.uk)  **(secondary contact:**  **University Secretary c/o Gill Bartlett)**  *In the case of money laundering, the primary or secondary contact would have the responsibility of informing the University’s Money Laundering Officer – Peter Fielding, Deputy Director of Finance.* |
| Suspected bribery or other serious matter | University Secretary  c/o Gill Bartlett  Lancaster University  University House  Bailrigg  Lancaster LA1 4YW  Telephone: 01524 592022  Email: [g.bartlett@lancaster.ac.uk](mailto:g.bartlett@lancaster.ac.uk)  **(secondary contact –**  **Sarah Randall-Paley, Director of Finance**  **s.randall-paley@lancaster.ac.uk)** |
| **Alternative contacts for any of the above** Chair of the Audit Committee (lay member of Council and Deputy Pro-Chancellor) | c/o Gill Bartlett  Telephone: 01524 592022  Email: [g.bartlett@lancaster.ac.uk](mailto:g.bartlett@lancaster.ac.uk) |
| Internal audit partner | **Jane Forbes (UK - Assurance) PwC**  Mobile: +44 (0)7834 255 432  Email: [jane.c.forbes@pwc.com](mailto:jane.c.forbes@pwc.com) |

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