

Whistle Blowing Policy

Introduction

This Code is intended to help employees who have major concerns over any wrongdoing within Lomax Training Services Limited relating to unlawful conduct, financial malpractice or dangers to the public or the environment. Specific examples could include:

- A criminal offence (e.g. fraud, corruption or theft) has been/is likely to be committed
- A miscarriage of justice has been/is likely to occur
- The health or safety of any individual has been or is likely to be endangered
- The environment has been/is likely to be damaged
- Public funds are being used in an unauthorised manner
- The company's policies and procedures and standards have or are not being observed or are being breached by members of staff
- Sexual or physical abuse of any member of staff or learner
- Discrimination is occurring to any member of staff or learner on grounds of sex, race or disability
- Any other form of improper action or conduct is taking place
- Information relating to any of the above is being deliberately concealed or attempts are being made to conceal the same

Lomax Training Services limited has a code so as to enable you to raise your concerns about such malpractice(s) at an early stage and in the right way. Lomax Training Services Limited would rather that you raised the matter when it is just a concern rather than wait for concrete proof.

If something is troubling you, that you think we should know about or look into, please use this policy. If, however, you are aggrieved about your personal position, please use the Grievance Policy - which you can get from your manager or the staff handbook. This Whistle blowing Code is primarily for concerns where the interests of others or of the organisation itself are at risk.

If in doubt - raise it!

The aims of the Lomax Training Services Limited Whistle Blowing Code

The aims of this code is to:

- Encourage employees to feel confident in raising serious concerns and to question and act upon their concerns
- Provide ways for employees to raise those concerns and get feedback on any action taken as a result

- Ensure that employees get a response to their concerns and that they are aware of how to pursue them if they know what to do if they are not satisfied with any actions
- Reassure employees that if they raise any concerns in good faith and reasonably believe them to be true, they will be protected from possible reprisals or victimisation

It is not intended to be used where other more appropriate procedures are available, for example

- Grievances refer to the Grievance Procedure in the Staff Hand Book
- Harassment refer to Anti-Harassment Policy and Procedure in the Staff Handbook
- Complaints of misconduct against staff

Who is covered by the Code?

This code applies to all employees of the Lomax Training Services and all learners attending our centres or using our services. This includes permanent and temporary staff and associates. Any concerns relating to a third party, if relevant to the staff's secondment, can also be raised under this Code.

What Assurance do you get?

If you do raise a concern under this code, you will not be at risk of losing your job or suffering any form of retribution as a result, provided that:

- The disclosure is made in good faith
- You reasonably believe that information, and any allegations contained in it, are substantially true.
- You are not acting for personal gain

Lomax Training Services limited will not tolerate the harassment or victimisation of anyone raising a genuine concern. However, we recognise that you may nonetheless want to raise a concern in confidence under this code.

If you ask us to protect your identity by keeping your confidence, we will not disclose it without your consent.

If the situation arises where we are not able to resolve the concern without revealing your identity (for instance because your evidence is needed in court), we will discuss with you whether and how we can proceed.

Remember that if you do not tell us who you are, it will be much more difficult for us to look into the matter or to protect your position or to give you feedback. Accordingly, while we will consider anonymous reports, this policy is not well suited to concerns raised anonymously.

What is the Legal Background?

The Public Interest Disclosure Act 1998 (hereinafter referred to as 'the Whistleblowers

Act') protects employees against detrimental treatment or dismissal as a result of any disclosure of normally confidential information in the interests of the public. The Act only covers protected disclosures under six categories, namely; crime, illegality, miscarriage of justice, damage to health and safety, damage to the environment, and 'cover-ups' about these issues.

To obtain protection employees must first disclose the information to the employer or to a body prescribed by the Secretary of State for the purposes of receiving such

information. A list of the prescribed bodies is available on the government's website, along with a useful Guide on the Act.

Lomax Training Services Limited has introduced this Whistle blowing Code and procedure in line with the Act.

How Should an Employee Raise a Concern?

As soon as you become reasonably concerned you should firstly raise the issue with your Line Manager (unless they are the potential transgressor, in which case write to the Director.

Concerns may be raised verbally or in writing. Employees who wish to make a written report should use the following format:

- The background and history of the concern (giving relevant dates)
- The reason why they are particularly concerned about the situation.

How will the Company Respond?

If the concern is raised verbally, the person receiving the information should put it in writing as soon as practicable to ensure that it properly reflects the concerns that have been raised. The employee must also indicate if the concern is to be treated in confidence. The limit of that confidence will be checked out by the person receiving the information. The relevant person will also ensure that the Company Secretary receives adequate details of the employee's concerns for the purpose of recording and monitoring purposes.

Once you have told us of your concern, we will look into it to assess initially what action should be taken. This may involve an internal inquiry or a more formal investigation. We will tell you who may be handling the matter, how you can contact him/her and whether your further assistance may be needed. If you request it, we will write to you summarising your concern(s) and setting out how we propose to handle it.

When you raise the concern you may be asked how you think the concern(s) might best be resolved. If you do have any personal interest in the matter, we do ask that you tell us

at the outset. Should your concern fall within another policy of the Company (for example, the Grievance Policy), we will tell you.

While the purpose of this Code is to enable us to investigate possible malpractice and take appropriate steps to deal with it, we will give you as much feedback as we properly can. If requested, we will confirm our response to you in writing. Please note, however, that we may not be able to tell you the precise action we take where this would infringe a duty of confidence owed by us to someone else.

Concerns or allegations which fall within the scope of specific procedures will normally be referred for consideration under that relevant procedure. Some concerns may be resolved by agreed action without the need for investigation. If urgent action is required, this will be taken before any investigation is conducted

Where appropriate, the matters raised may:

- Be investigated by senior management
- Be referred to the police
- Be referred to the external auditor
- Form the subject of an independent inquiry

Typically, within four weeks of a concern being raised, the person looking into the concern will write to you:

- Acknowledging that the concern has been received
- Indicating how the Company propose to deal with the matter
- Giving an estimate of how long it will take to provide a full response
- Saying whether any initial enquiries have been made
- Supplying information on support available to you; and
- Saying whether further investigations will take place and if not, why not.

Subject to any legal constraints, the relevant employee will normally be informed of the final outcome of any investigation.

What Safeguards are there for the Employee?

Lomax Training Services Limited will not tolerate any harassment or victimisation (including informal pressures) and will take appropriate action to protect those who raise a concern in good faith.

Any investigation into allegations of potential malpractice will not influence or be influenced by any disciplinary or redundancy procedures already taking place concerning the employee.

- No action will be taken against anyone who makes an allegation in good faith, reasonably believing it to be true, even if the obligation is not subsequently confirmed by the investigation.

- Every effort will be made to ensure confidentiality as far as this is reasonably practical.
- Help will be provided to you in order to minimise any difficulties which you may experience. This may include advice on giving evidence if needed. Meetings may, if necessary be arranged off-site with you and with you being represented, if you so wish.

How can a Concern be taken Further?

If you are unsure whether to use this Code or you want independent advice at any stage, you may contact

- Other bodies prescribed by the Secretary of State

This Code is intended to provide an avenue within the Company to raise concerns. If an employee takes the matter outside the Company, s/he should ensure that no disclosure of confidential information takes place and should check with their Manager, if unsure, as the Public Interest Disclosure Act does not provide blanket protection and could leave employees vulnerable to disciplinary or other action, if they disclose confidential information in circumstances not covered by the Act.

An employee who is not satisfied with the action taken by the Company and feels it right to question the matter further, s/he may consider the following possible contact points:

- The Citizens Advice Bureau and / or law centre / firm
- Relevant professional bodies or regulatory organisations
- The Information Commissioner
- A relevant voluntary organisation
- The Police and/ or Health and Safety Executive.

Corporate Recording and Monitoring

Departments will ensure they have sufficient internal arrangements to address the requirements of the Code and the Director shall ensure that Senior Managers are sufficiently trained and developed to implement this code.

The Company Secretary will maintain a Register containing all concerns that are brought to his attention. All line managers allocated to look into the concern must ensure the Monitoring Officer is provided with sufficient details of the concerns for the Register.

Signed



James Lomax
Managing Director

| Version | Issued | Superseded by |
|---------|----------------|---------------|
| 1.0 | November 2015 | Version 2.0 |
| 2.0 | January 2018 | Version 3.0 |
| 3.0 | July 2019 | Version 4.0 |
| 4.0 | September 2020 | Version 5.0 |
| 5.0 | September 2021 | Version 6.0 |
| 6.0 | September 2022 | Version 7.0 |
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