

Expected standard of conduct policy

At Barts Charity, we aim to enable life-changing improvements to health for the people of East London. We are a charity with its roots in East London, dedicated to supporting improvements to healthcare and transformative research for local health benefit. We work in partnership with Barts Health NHS Trust, and local Higher Education Institutes (Queen Mary, University London, and City St George's, University of London) who have the expertise to deliver projects that work towards our mission. The delivery of these projects involve a range of individuals, including staff, students and volunteers. Barts Charity is committed to fostering a respectful, inclusive, safe and professional environment in which the grant activities we fund can be completed to a high standard.

We expect the employing organisations to have systems and processes in place to encourage and promote a positive working culture. This includes:

- Ensuring that all employees of (and other individuals volunteering, studying and receiving services from) the organisation are treated with dignity and respect
- Ensuring that work is carried out with integrity and to the highest levels of rigour
- Ensuring they have appropriate mechanisms in place for concerns to be reported and investigated and, if necessary, for sanctions to be applied. This should include, but is not limited to:
 - Allegations of bullying and/or harassment
 - Safeguarding concerns
 - Allegations of professional misconduct.

This policy applies to all individuals who participate in the delivery of our grant portfolio, including:

- Lead and co-applicants
- Fellowship supervisors
- Staff
- Students

Expectations and requirements

We expect the employing organisations to have appropriate mechanisms in place for concerns about their employees to be reported, investigated and, if necessary, for appropriate sanctions to be applied. It is not Barts Charity's responsibility to investigate any allegations.

We suggest that the organisations also have systems in place to identify when investigations concern individuals involved in the delivery of Barts Charity grants, so that we can be informed (as outlined below).

We ask that the Barts Charity Director of Funding & Impact is notified, in confidence if:

- an **individual associated with a grant application under review** is under investigation or has active sanctions. (Prospective applicants who are under investigation or have active sanctions are encouraged to contact us prior to application.)
- a formal investigation is opened into an **individual associated with an active grant** or an **individual associated with a closed grant** if the allegation of misconduct includes activities associated with that grant .

When an investigation is **opened**, we asked to be provided with the following information:

- Name of the person under investigation **only**
- A brief statement of the facts. This should not include the details of any other individuals.
- Details of when the investigation was started and is expected to be completed.
- The name and position of an appropriate representative at the employing organisation whom Barts Charity can contact for information and updates.

We expect that the Director of Funding & Impact will be kept informed of the progress of the investigation.

When an investigation is **completed**, we asked to be provided with the following information:

- Confirmation of date of completion
- A summary of the outcomes of the investigation, including whether the allegation was partially or fully upheld, and the details of any sanctions.

We reserve the right to request a copy of the final investigation report.

What will we do with this information?

Any information shared with us will be:

- handled in confidence and in accordance with data protection law requirements,
- stored in a secure location with access limited to:
 - Chief Executive Officer
 - Chief Operating Officer
 - Director of Funding & Impact
 - Head of Funding
 - The System Manager.
- communicated on a need-to-know basis to individual members of staff or Trustees involved in managing the grant or application to pursue our legitimate interests as a funder. This includes making sure that the activities funded by Barts Charity are not at risk.
- kept in line with our retention policy.

Any information shared with us will **NOT** be shared with peer reviewers or funding committee and advisory panels ,or in any way be used in the review of an application.

If an allegation is upheld, Barts Charity may apply our own sanctions. This could include:

- the early termination of any active grants
- withdrawal of any applications under review
- barring an individual from applying for Barts Charity (either for a fixed period or indefinitely).