

Alliance Management Systems Whistleblowing Policy

AMS POL 02
Date: June 2020

1. ABOUT THIS POLICY

- 1.1. We are committed to conducting our business with honesty and integrity, and we expect everyone working in Alliance to maintain these high standards in accordance with our Code of Conduct. However, all organisations face the risk of things going wrong from time to time, or of unknowingly harbouring illegal or unethical conduct. A culture of openness and accountability is essential in order to prevent such situations occurring and to address them when they do occur.
- 1.2. The aims of this Policy are:
 - a) To encourage everyone to report suspected wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected.
 - b) To provide everyone with guidance as to how to raise those concerns.
 - c) To reassure everyone that they should be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken.
- 1.3. This policy covers all employees, officers, consultants, contractors, volunteers, interns, casual workers and agency workers.
- 1.4. This policy does not form part of any employee's contract of employment and we may amend it at any time.

2. PERSONNEL RESPONSIBLE FOR THE POLICY

- 2.1. The Audit and Risk Committee has overall responsibility for this policy, and for reviewing the effectiveness of actions taken in response to concerns raised under this policy.
- 2.2. The Whistleblowing Officer has day-to-day operational responsibility for this policy and must ensure that all managers and other employees who may deal with concerns or investigations under this policy receive appropriate training.
- 2.3. The Whistleblowing Officer, in conjunction with the Audit and Risk Committee should review this policy from a legal and operational perspective at least once a year.
- 2.4. Everyone is responsible for the success of this policy and should ensure that they use it to disclose any suspected danger or wrongdoing. Comments, suggestions for improvement and queries are welcome and should be addressed to the Whistleblowing Officer.

3. WHAT IS WHISTLEBLOWING?

- 3.1. Whistleblowing is the disclosure of information which relates to suspected malpractice or dangers at work. This may include:
 - a) criminal activity;
 - b) failure to comply with any legal or professional obligation or regulatory requirements;
 - c) miscarriages of justice;
 - d) danger to health and safety;
 - e) damage to the environment;
 - f) bribery under our Anti-corruption and Bribery Policy;
 - g) facilitating tax evasion contrary to our Anti-facilitation of tax evasion policy;

- h) financial fraud or mismanagement;
- i) breach of our internal codes, policies and procedures;
- j) conduct likely to damage our reputation or financial wellbeing;
- k) unauthorised disclosure of confidential information;
- l) negligence;
- m) the deliberate concealment of any of the above matters and/or
- n) Attempted victimisation or retaliation against someone who has disclosed malpractice

3.2. A whistleblower is a person who raises a genuine concern relating to any of the above. If you have any genuine concerns related to suspected wrongdoing or danger affecting any of our activities (a whistleblowing concern) you should report it under this policy.

3.3. This policy should not be used for complaints relating to your own personal circumstances, such as the way you have been treated at work. In such cases you should refer the matter to the HR Department for it to be handled under the relevant internal policy and procedures.

3.4. If you are uncertain whether something is within the scope of this policy you should seek advice from the Whistleblowing Officer, whose contact details are at the end of this policy.

4. RAISING A WHISTLEBLOWING CONCERN

4.1. We hope that in most cases you will be able to raise any concerns with your line manager. You may tell them in person or put the matter in writing if you prefer. They may be able to agree a way of resolving your concern quickly and effectively. In some cases, they may refer the matter to the Whistleblowing Officer.

4.2. However, where the matter is more serious, or you feel that your line manager has not addressed your concern, or you prefer not to raise it with them for any reason, you should contact one of the following, in priority order:

- a) The Whistleblowing Officer.
- b) The CEO
- c) Chairman of the Audit & Risk Committee.
- d) Protect (www.protect-advice.org.uk), the independent whistleblowing charity,

Contact details are set out at the end of this policy.

4.3. The Whistleblowing Officer will arrange a meeting with you as soon as possible to discuss your concern. If you feel more comfortable having this meeting with a colleague or union representative present, this can be arranged provided your companion respects the confidentiality of your disclosure and any subsequent investigation.

4.4. Your concerns will be listened to, noted and a summary of your concern prepared, which you can have a copy of after the meeting. We will also aim to give you an indication of how we propose to deal with the matter.

5. CONFIDENTIALITY

5.1. We hope that you will feel able to voice whistleblowing concerns openly under this policy. However, if you want to raise your concern confidentially, we will make every effort to keep your identity secret. If it is necessary for anyone investigating your concern to know your identity, we will discuss this with you.

5.2. We do not encourage anonymous disclosures. Proper investigation may be more difficult or in some cases may actually prove to be impossible if we cannot obtain further information from you. Whistleblowers who are concerned about possible reprisals if their identity is revealed should speak to the Whistleblowing Officer or one of the other contact points listed in Paragraph 4 and appropriate measures can then be taken to preserve confidentiality. If you are in any doubt you can seek advice from Protect. Their contact details are at the end of this policy.

6. INVESTIGATION AND OUTCOME

- 6.1. Once you have raised a concern, we will carry out an initial assessment to determine the scope of any investigation. We will inform you of the outcome of our assessment. You may be required to attend additional meetings in order to provide further information.
- 6.2. In some cases, we may appoint an investigator(s), either internal or external, who has relevant experience of investigations or specialist knowledge of the subject matter. The investigator(s) may make recommendations for change to enable us to minimise the risk of future wrongdoing.
- 6.3. We will aim to keep you informed of the progress of the investigation and its likely timescale. However, sometimes the need for confidentiality may prevent us giving you specific details of the investigation or any action taken as a result. You should treat any information about the investigation as confidential.
- 6.4. If we conclude following investigation that a whistleblower has maliciously made false allegations, then the whistleblower may be subject to disciplinary action.

7. IF YOU ARE NOT SATISFIED

- 7.1. While we cannot always guarantee the outcome you are seeking, we will try to deal with your concern fairly and in an appropriate way. By using this policy, you can help us to achieve this.
- 7.2. If you are not happy with the way in which your concern has been handled, you can raise it with one of the other key contacts in Paragraph 4. Alternatively, you may contact the chairman of the Audit and Risk Committee. Contact details are set out at the end of this policy.

8. EXTERNAL DISCLOSURES

- 8.1. The aim of this policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the workplace. In most cases you should not find it necessary to alert anyone externally.
- 8.2. The law recognises that in some circumstances it may be appropriate for you to report your concerns to an external body such as a regulator. We hope that you feel able to discuss your concerns internally first and we strongly encourage you to seek advice before reporting a concern to anyone external. The independent whistleblowing charity, Protect, operates a confidential helpline. They also have a list of prescribed regulators for reporting certain types of concern. Their contact details are at the end of this policy.
- 8.3. Whistleblowing concerns usually relate to the conduct of employees, but they may sometimes relate to the actions of a third party, such as a customer, supplier or service provider. In some circumstances the law will protect you if you raise the matter with the third party directly. However, we encourage you to report such concerns internally first. You should contact your line manager or one of the other individuals set out in Paragraph 4 for guidance.

9. PROTECTION AND SUPPORT FOR WHISTLEBLOWERS

- 9.1. It is understandable that whistleblowers are sometimes worried about possible repercussions. We aim to encourage openness and will support anyone who raises a genuine concern under this policy, even if they turn out to be mistaken. However, if we conclude, following investigation, that you have maliciously made false allegations, then you may be subject to disciplinary action.
- 9.2. You will not suffer detrimental treatment as a result of raising a concern, such as disciplinary action, threats or other unfavourable treatment connected with raising a concern. If you believe that you have suffered any such treatment, you should inform the Whistleblowing Officer immediately. If the matter is not remedied

you should raise it formally using our Grievance Procedure.

9.3. Equally, you must not threaten or retaliate against whistleblowers in any way. If you are involved in such conduct you may be subject to disciplinary action. In some cases, the whistleblower could have a right to sue you personally for compensation in an employment tribunal.

9.4. A confidential support and counselling hotline is available to whistleblowers who raise concerns under this policy. Their contact details are set out at the end of this policy.

10. CONTACTS

Whistleblowing Officer

Chris Chrysanthou
00 44 1249 591078
00 44 7917 834186
Chris.chrysanthou@alliancepharma.co.uk

CEO

Peter Butterfield
00 44 1249 705149
peter.butterfield@alliancepharma.co.uk

Chairman of the Audit Committee and Risk Committee

Richard Jones
00 44 7730 049686
Richard.jones@alliancepharma.co.uk

Protect

(Independent whistleblowing charity)

Helpline: 00 44 203 117 2520
E-mail: <https://protect-advice.org.uk/buisness-support-contact-form/>
Website: www.protect-advice.org.uk