



**ANGLO PACIFIC GROUP PLC**  
**WHISTLEBLOWING POLICY**

**Introduction**

Anglo Pacific Group PLC (the "Company") is committed to conducting our business with the highest standards of honesty and integrity. We expect all staff to maintain the same standards in everything they do. 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 or to address them when they do occur.

The aims of this policy are:

To encourage staff to report suspected matters of concern 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, to the extent possible.

To provide staff with guidance as to how to raise those concerns.

To reassure staff that they should be able to raise genuine concerns in good faith without fear of reprisals, even if they turn out to be mistaken.

The policy applies both to the Company, and all companies in the Company's group.

**1. Who is covered by this policy?**

- 1.1 This policy applies to all individuals working at all levels of the organisation (collectively referred to as "**staff**" in this policy).

**Who is a member of "staff"?**

This policy applies to all individuals working at all levels and grades, including senior managers, officers, directors, employees (whether permanent, fixed-term or temporary), consultants, contractors, trainees, seconded staff, homeworkers, casual workers and agency staff, volunteers, interns, agents, sponsors, or any other person associated with us, or any of our subsidiaries or their employees, wherever located.

- 1.2 This policy does not form part of any employee's contract of employment and it may be amended at any time.

## 2. What is whistleblowing?

2.1 **Whistleblowing** is the disclosure of information which relates to matters of concern at work, including suspected wrongdoing or dangers at work. Matters of concern may include:

- criminal activity;
- failure to comply with any legal or professional obligation or regulatory requirements;
- miscarriages of justice;
- danger to health and safety;
- risk to the environment;
- bribery and money-laundering;
- the deliberate concealment of any of the above matters.

2.2 A **whistleblower** is a person who raises a genuine concern in the public interest relating to any of the above. If you have any genuine concerns related to suspected wrongdoing or danger affecting any of our activities you should report it under this policy. You do not have to be able to prove the allegations and some allegations may prove to be unfounded. However, we would prefer the issue or concern to be raised, rather than run the risk of not detecting a problem early on.

2.3 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 those cases you should use the Company's Grievance Policy.

2.4 If you are uncertain whether something is within the scope of this policy, you should seek advice from the Head of Legal or the Company Secretary.

## 3. Procedure

3.1 If appropriate, you should raise any concerns with your line manager in the first instance. 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 Head of Legal.

3.2 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 Head of Legal, the Company Secretary, the Chief Executive Officer or the designated employee representative on the Board.

3.3 We will arrange a meeting with you as soon as possible to discuss your concern. We will take down a written summary of your concern and provide you with a copy after the meeting. We will also aim to give you an indication of how we propose to deal with the matter.

3.4 Following the meeting, 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.

3.5 If the matter requires further investigation, such an investigation will be carried out. 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 disciplinary action taken as a result. You should treat any information about the investigation as confidential.

- 3.6 If you are not happy with the way in which your concern has been handled, you should refer the matter to the Chairman of the Board of Directors, the Chairman of the Audit Committee, or our external auditors.
- 3.7 If we conclude that a whistleblower has made false allegations maliciously, in bad faith or with a view to personal gain, the whistleblower will be subject to disciplinary action in accordance with the Company's Disciplinary Policy.

#### **4. Confidentiality**

- 4.1 We hope that staff 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.
- 4.2 We do not encourage staff to make disclosures anonymously. Proper investigation may be more difficult or impossible if we cannot obtain further information from you. It is also more difficult to establish whether any allegations are credible and have been made in good faith. Whistleblowers who are concerned about possible reprisals if their identity is revealed should come forward to the Chairman of the Board of Directors and appropriate measures can then be taken to preserve confidentiality.
- 4.3 If you are not comfortable with speaking up internally, then you can use the confidential speaking up mechanism called Safecall. Safecall is an independent company which provides a speaking up service to many different organisations. Safecall's details are at <https://www.safecall.co.uk/>.
- 4.4 Safecall is available at any time and allows you to raise your concerns in any language, either by telephone or on-line. If you choose to contact Safecall, your call will be taken by a trained operator, with whom you can discuss, in confidence, the details of the concern. Calls are never recorded and you can remain anonymous, if you wish. However, the more details you are able to provide, the better chance of the matter being resolved: it can be difficult to investigate anonymous disclosures.
- 4.5 The operator will provide a summary of the concern to the Company. At the outset of each call – before you give any information about your concern – the operator will tell you who they will send the summary to and offer you an alternative recipient, so that you have a choice. This means you will know in advance who will receive the summary. The Company will then determine how the concern should be addressed.
- 4.6 You can contact Safecall using the list of freephone numbers set out at [www.safecall.co.uk/freephone](http://www.safecall.co.uk/freephone) or report on-line at [www.safecall.co.uk/report](http://www.safecall.co.uk/report).
- 4.7 If you remain in any doubt you can seek advice from Protect, the independent whistleblowing charity, who offer a confidential helpline for the purposes of giving advice to callers. They can be contacted on +44 (0)20 3117 2520 (option 1) or at [whistle@protect-advice.org.uk](mailto:whistle@protect-advice.org.uk).

#### **5. Protection and support for whistleblowers**

- 5.1 It is understandable that whistleblowers are sometimes worried about possible repercussions. We aim to encourage openness and will support staff who raise genuine concerns in good faith under this policy, even if they turn out to be mistaken.
- 5.2 Staff must not suffer any detrimental treatment as a result of raising a concern in good faith. Detrimental treatment includes dismissal, 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 Head of Legal or the designated employee representative on the Board of Directors immediately. If the matter is not remedied, you should raise it formally using our Grievance Policy.

- 5.3 Staff must not threaten or retaliate against whistleblowers in any way. Anyone involved in such conduct will be subject to disciplinary action in accordance with the Company's Disciplinary Policy.

## **6. External Disclosures**

- 6.1 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.
- 6.2 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. It will very rarely, if ever, be appropriate to alert the media. We strongly encourage you to seek advice before reporting a concern to anyone external. Protect (the charity) has a list of prescribed regulators for reporting certain types of concern.
- 6.3 Whistleblowing concerns usually relate to the conduct of our staff, but they may sometimes relate to the actions of a third party, such as a service provider, supplier or counterparty. The law allows you to raise a concern in the public interest with a third party, where you reasonably believe it relates mainly to their actions or something that is legally their responsibility. However, we encourage you to report such concerns internally first. You should contact the Head of Legal or the Company Secretary for guidance.

## **7. Responsibility for the success of this policy**

- 7.1 The Audit Committee has overall responsibility for this policy and for reviewing the effectiveness of actions taken in response to concerns raised under this policy.
- 7.2 The Head of Legal and the Company Secretary has day-to-day operational responsibility for this policy.
- 7.3 The Head of Legal, in conjunction with the Audit Committee, should review this policy from a legal and operational perspective at least once a year.
- 7.4 All staff are responsible for the success of this policy and should ensure that they use it to disclose any suspected danger or wrongdoing. Staff are invited to comment on this policy and suggest ways in which it might be improved. Comments, suggestions and queries should be addressed to the Head of Legal or the Company Secretary.