



# 深港海事安保有限公司 SINOGUARDS MARINE SECURITY LIMITED

Room 1205, Tai Sang Bank Building, 130 ~132 Des Voeux Road Center, Hong Kong  
Tel: +852 81987300 Fax: +852 30156855 Email: info@sinoguards.com

## Whistle Blowing Policy

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## **SP 05 WHISTLEBLOWING PROCEDURE (ISO 9001:2008, ISO 28000:2007/2015)**

### **1. General**

Sinoguards is committed to maintaining the highest levels of probity and behavior amongst its workforce, and takes very seriously any form of malpractice that is identified or uncovered. Our Code of Conduct for Employees and Contractors sets out the standards expected from all of our Employees and Contractors, providing staff with a comprehensive frame of reference. As an organisation, our values are to be fair, helpful and authoritative and we expect our Employees and Contractors to work in accordance with these values.

Employees and Contractors who have concerns are able to raise disclosures about wrongdoing under this policy, so that problems can be identified and resolved quickly. Where Employees and Contractors raise concerns in good faith and reasonably believe them to be true, they will be protected from possible reprisals or victimisation. If Employees and Contractors raise a genuine concern under this policy, they will not be at risk of losing their position or suffering any form of retribution as a result.

Individuals should take care to ensure the accuracy of the information. Employees and Contractors should give this careful consideration and take advice prior to making a complaint if they are in doubt of total accuracy. If it can be shown that the employee or contractor who raises the disclosure has done so mischievously, maliciously or for personal gain, disciplinary action may be taken.

This procedure provides a mechanism for Employees and Contractors to raise serious concerns about wrongdoing and get feedback on any action as a result. Employees and Contractors are encouraged to feel confident in raising such concerns.

The procedure also provides details of how to pursue any appeal, if an employee is not satisfied with any action taken.



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## 2. Procedure

The public Interest Disclosure Act 1998 protects Employees and Contractors against detrimental treatment or dismissal as a result of any disclosure by them of normally confidential information in the interests of the public. SG'S whistle blowing policy and procedure, as set out, is in line with the Act.

### Procedure for making a disclosure China

Where an employee files a complaint to a labour bureau on a potential breach which affects his/her own rights and interests, he/she should do so in writing. If the employee has any difficulty in submitting a written complaint, he/she can do so orally and sign a written statement prepared by the department. Depending on the nature of the complaint, the labour bureau may advise the complainant that it is more appropriate to deal with the matter through labour arbitration or a court.

Otherwise, there is no specific procedure which dictates how any other individual or entity should file a report. This can usually be done in person, by mail or by telephone.

A complaint and/or a report can only be made within two years of the relevant breach having occurred.

#### 2.1)

A disclosure will qualify for protection if the concern relates 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 have been committed.
- The breach of a legal obligation
- A miscarriage of justice
- The health or safety of any individual has been / is likely to be endangered
- Damage to the environment



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- SG'S Code of Conduct has not or is not being observed or is being breached by a member of staff or management
- Any other form of serious 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.

## 2.2)

All Employees and Contractors of Sinoguards are subject to the terms of this procedure.

- Make SG'S aware of any concerns that the contractor's staff may have with regard to any contractual or other arrangement with SG'S.
- Any private concerns of the contractor relating to non-SG'S business should be raised with the relevant contractor organisation and/or other suitable agency/regulator – including the police if appropriate.
- It is not to be used where other more appropriate procedures are available such as personal grievances in which case the Grievance Procedure, MP 13 shall be invoked.
- If requested the identity of an individual shall be protected and not disclosed without that individual's consent.
- If, due to the nature of the disclosure, SG'S is not able to resolve the concern without revealing their identity for legal reasons, this will be fully discussed with the employee / contractor to agree how the matter can proceed.
- Meetings may, if necessary be arranged off-site
- Where practicable SG'S will make every effort to protect employee / contractor confidentiality.
- In the event of an employee /contractor raising a concern and then wishes not to proceed with the disclosure, management shall review the nature of the disclosure in order to assess whether the matter should be further investigated.
- Where an employee / contractor has been made subject to a Whistle blowing disclosure, and on investigation the disclosure validated the issues will be addressed and appropriate actions taken by top management in line with SG'S relevant policies and procedures.



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- In the event an investigation concludes that there is a case of misconduct by an employee, a formal disciplinary investigation leading to a hearing may take place in accordance with SG'S disciplinary procedures.
- Throughout all investigations both parties will be kept up to date with progress on the findings. Timescales for this will be determined by the investigating manager and notified to both parties as part of the investigation process. Appropriate support will be provided to both parties as required.
- Those potential whistle blowers who have reservations about making such disclosures are free to seek independent advice at any time on the process of raising a concern re: reporting serious malpractice at work.
- If any disclosure proves have been made with malicious intent, those appointed to investigate may recommend an investigation under the Disciplinary Procedure against the complainant.

I \_\_\_\_\_ acknowledge receipt of the Whistle Blowing Policy. I have read and understood its contents.

Print Name \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_