

# 药明生物举报与调查

## WHISTLEBLOWING AND INVESTIGATION

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## 1. 总则

### 1.1 概述

公司致力于最高标准的公开，公正和问责标准。根据这一承诺，本公司期望并鼓励员工，客户，供应商和其他利益相关者对本公司内涉嫌不当行为或不法行为进行举报。

尽管公司不能保证随后的调查结果能够令那些提出关注的人士都满意，但公司将努力公正、正确地对待这些问题。

### 1.2 定义

尽管无法将构成不当行为或不法行为的活动悉数列出，但通常而言，公司希望将下列行为定义为“不当行为”或“不法行为”：

- 1.2.1 刑事犯罪；
- 1.2.2 未能履行相关法律义务；
- 1.2.3 违反公司相关规定；
- 1.2.4 侵占资产或资金；
- 1.2.5 性骚扰或歧视行为；
- 1.2.6 显失公正的情况；
- 1.2.7 财务不当行为；
- 1.2.8 危及个人健康和安全的行为；
- 1.2.9 破坏环境的行为；
- 1.2.10可能危害信息安全的行为；
- 1.2.11可能产生实验动物伦理问题的行为；
- 1.2.12故意隐瞒上述任何事项的行为。

尽管公司不会期待每一个不当行为或不法行为的举报都有确凿证据，但该举报至少应指出其进行报告的原因。只要相关举报是善意的，即使经调查证实无相关事实根据，您的关注也是有价值和值得表扬的。

### 1.3 适用范围

本制度适用于 WuXi Biologics (Cayman) Inc.（简称“药明生物”）及其全球范围内控股的子公司及关联公司。

## 2 职责

### 2.1 公司和审计委员会

#### 2.1.1 保护和支持举报人

根据本项制度而作出恰当举报的人员被承诺会受到保护，以防止不合理的解雇，受伤害或无根据的纪律处分，即使相关举报被证明无事实根据。

对根据本制度作出举报的人员进行伤害或报复的员工将受到纪律处分。

公司确保所有员工，客户和供应商能够提出举报而不用担心遭到报复。同时公司应确保所有客户和供应商都清楚知悉公司鼓励其向公司举报他们意识到的任何不当行为或不法行为。

#### 2.1.2 执行和监督本制度的责任

本公司审计委员会(以下简称“审计委员会”)对本制度负全部责任，并负责监督执行内部审计部门的日常工作。审计委员会负责监督和审查本制度的运作以及调查投诉行为的任何建议。

### 2.2 各部门负责人

2.2.1 监督、管理本部门及员工各项经营管理、科研及业务等活动中的行为符合相关法律法规、公司制度及准则要求；

2.2.2 处理本部门员工及管理人士的投诉与举报，及时发现并制止本部门员工及管理人士的各类“不当行为”或“不法行为”；

2.2.3 全力支持、配合公司举报调查工作；

2.2.4 对于举报调查过程中发现的问题和提出的建议，应当督促部门及时完成整改，并将整改结果书面告知内审部及各有关部门。

### 2.3 全体员工

2.3.1 按时参加公司组织的举报与调查培训，达到公司规定的培训时间和培训标准；

2.3.2 拒绝执行各类“不当行为”或“不法行为”，对于发现或知情的公司或其他员工的“不当行为”或“不法行为”，主动向内审部举报或者报告；

2.3.3 积极配合公司调查，如实提供资料和信息，不得拒绝、阻挠、消极对待或干扰公司的调查取证工作。

## 3 报告

### 3.1 虚假报告

以不合理的理由或者为了个人利益而以恶意的方式进行虚假报告的员工可能会面临纪律处分，包括解雇。

### 3.2 报告程序

3.2.1 报告可以附件一所附的格式口头或书面提出。

3.2.2 对于员工而言，公司希望员工在公司内部向其直属上级进行举报。

3.2.3 如果您对于直接向直属上级报告存有顾虑，例如您的直属上级拒绝处理您的案件，或者报告的对象即为您的直属上级，那么您应该联

系内部审计部门。

3.2.4 对于客户和供应商而言，您应该向我司内部审计部门报告您的疑虑。

3.2.5 若报告内容非常严重或者涉及内部审计部门时，您应直接向审计委员会主席报告<sup>1</sup>。

3.2.6 在报告中，您应该提供全面的细节，并尽可能提供相关证据。

3.2.7 除上述渠道之外，您还可以随时向 [IA\\_biologics@wuxibiologics.com](mailto:IA_biologics@wuxibiologics.com) 报告。

3.2.8 如涉及可能危害信息安全的相关举报，您可以随时向 [IS\\_Biologics@wuxibiologics.com](mailto:IS_Biologics@wuxibiologics.com) 报告。

### 3.3 保密性

3.3.1 公司将竭尽全力对报告人的身份进行保密。为了不影响调查，您亦应该对您已经提出举报的事实，举报的内容以及举报所涉及的人员进行保密。

3.3.2 在某些情况下，由于调查的性质会需要披露您的身份。在此情况下，公司将尽可能预先通知您。如果您亦需要参加调查，公司将在合理可行的范围内对您的举报人身份进行保密。但是，调查过程中，您作为举报人的角色也可能对第三方变得显而易见。

3.3.3 同样，如果调查最终会引致刑事诉讼，您可能需要提供相应证据或被有关当局约谈。在这种情况下，公司将再次与您讨论对保密性的影响。

3.3.4 但是敬请理解，在某些情况下，公司可能必须将事宜转交给有关当局，恕不另行通知。

### 3.4 匿名报告

3.4.1 公司尊重个别情况下报告会以匿名方式提交。但是，由于公司无法从您那里获得进一步的信息并进行适当的评估，因此公司对匿名报告的跟进和处理将更加困难。

3.4.2 因此，公司一般不鼓励匿名报告，并鼓励您直接提出自己的顾虑。

## 4 调查步骤

4.1 请参阅附件二中的流程图进行快速参考。

4.2 公司将在三（3）个工作日内确认收到您的报告，并确认：

4.2.1 您的报告已经被收到；

4.2.2 将对此事进行调查；

4.2.3 受法律限制，您将在适当的时候被告知结果。

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<sup>1</sup> 联系方式见公司内网

- 4.3 内部审计负责人被委任管理举报报告。
- 4.4 公司将对收到的每份报告进行评估，以决定是否需要进行全面调查。如果有必要进行调查，则将委任适当的调查团队（具有适当的资历，且之前未卷入被举报事件，如：内审、合规、法务、人力资源等）来调查该举报。
- 4.5 若举报揭露潜在违法、犯罪的，公司将把事项提交给审计委员会。审计委员会与我们的法律顾问协商后，将决定是否将此事提交有关当局采取进一步行动。
- 4.6 如“保密性”一节所述，在大多数情况下，公司将在向有关当局提交事宜之前，尽力与您讨论。然而，在某些情况下，公司可能必须将事宜转交给有关当局，恕不另行通知或咨询。
- 4.7 请注意，一旦事项转交给有关当局，本公司将无法就此事项采取进一步行动，包括向您告知该转介。
- 4.8 在调查过程中您可能被要求提供更多信息。
- 4.9 调查报告将由高级管理人员组成的委员会进行审查，如内部审计负责人，人力资源负责人或合规负责人。
- 4.10 调查结果可能包括：
- 4.10.1 指控未被证实；
  - 4.10.2 指控已被证实，且：
  - 4.10.3 为确保问题不会再发生而采取的纠正措施已落实；
  - 4.10.4 对犯错者已采取惩罚或其他适当的行动。
- 4.11 最终报告将提交给审计委员会，并提出改进建议（如适用）。审计委员会将审议最终报告并向董事会提出建议。
- 4.12 您将以书面形式收到调查结果。由于法律上的限制，本公司将无法向您提供所采取行动的细节或报告副本。
- 4.13 如果您对结果不满意，您可以再次与审计委员会主席联系。在这种情况下，您应该再做一个报告，说明为什么您对结果不满意，如果有充分理由，本公司将再次调查您的疑虑。
- 4.14 当然，您也可以向监管机构或执法机构等外部机构提出这个问题。在向外界报告您的疑虑之前，请确保您有足够的证据支持您的疑虑。我们鼓励您在外部作出此类报告之前，与合规负责人讨论您的疑虑。您还应咨询您的法律顾问。

## 5 奖惩与检查

### 5.1 奖励与惩罚

5.1.1 在实名举报的情形下，若举报情况经公司内部或者外部调查后查证

属实的，公司会对举报人进行奖励，奖励方式包括通报表彰或物质奖赏。

- 5.1.2 对于恶意举报，公司将依据“虚假报告”小节内容对恶意举报进行惩罚。
- 5.1.3 员工有义务配合公司调查，对于阻挠或拒不配合的员工，公司有权视情节严重程度给予违纪处分，最高至解除劳动合同或退回劳务派遣机构。
- 5.1.4 对于举报内容被坐实的，公司有权视情节及影响严重程度给予书面警告及以上违纪处分，最高直至解除劳动合同或退回劳务派遣机构，涉及违法、犯罪的，公司依照章节 4.5 处理；
- 5.1.5 对于举报内容未被坐实的，但在调查过程中发现其他违规事项且对公司造成影响的，公司有权视情节及影响严重程度给予口头警告以上违纪处分，最高直至解除劳动合同或退回劳务派遣机构，涉及违法、犯罪的，公司依照章节 4.5 处理；
- 5.1.6 对于上述 5.1.4 和 5.1.5，公司将视被举报人所在部门管理人员的知情状况，追究部门管理人员相应的管理责任；对于存在部门管理人员故意隐瞒或纵容本部门员工“不当行为”或“不法行为”，公司将从严追究部门管理人员的管理责任。
- 5.1.7 上述章节 5.1.1~ 5.1.6 奖惩及责任追究工作，将依据《药明生物奖惩管理制度》或当地人力资源纪律程序执行。

## 5.2 监督举报制度的执行

审计委员会将不定期审查和监督此举报制度的有效性并提出修订建议，由内审部跟进落实。

## 6 附则

### 6.1 规则效力

在本管理制度发布之前有关药明生物举报与调查管理的规定，如有与本管理制度不一致的，以本管理制度为准。

### 6.2 解释

本制度由药明生物内审部负责解释。

### 6.3 附件

6.3.1 附件一《举报信息搜集表》

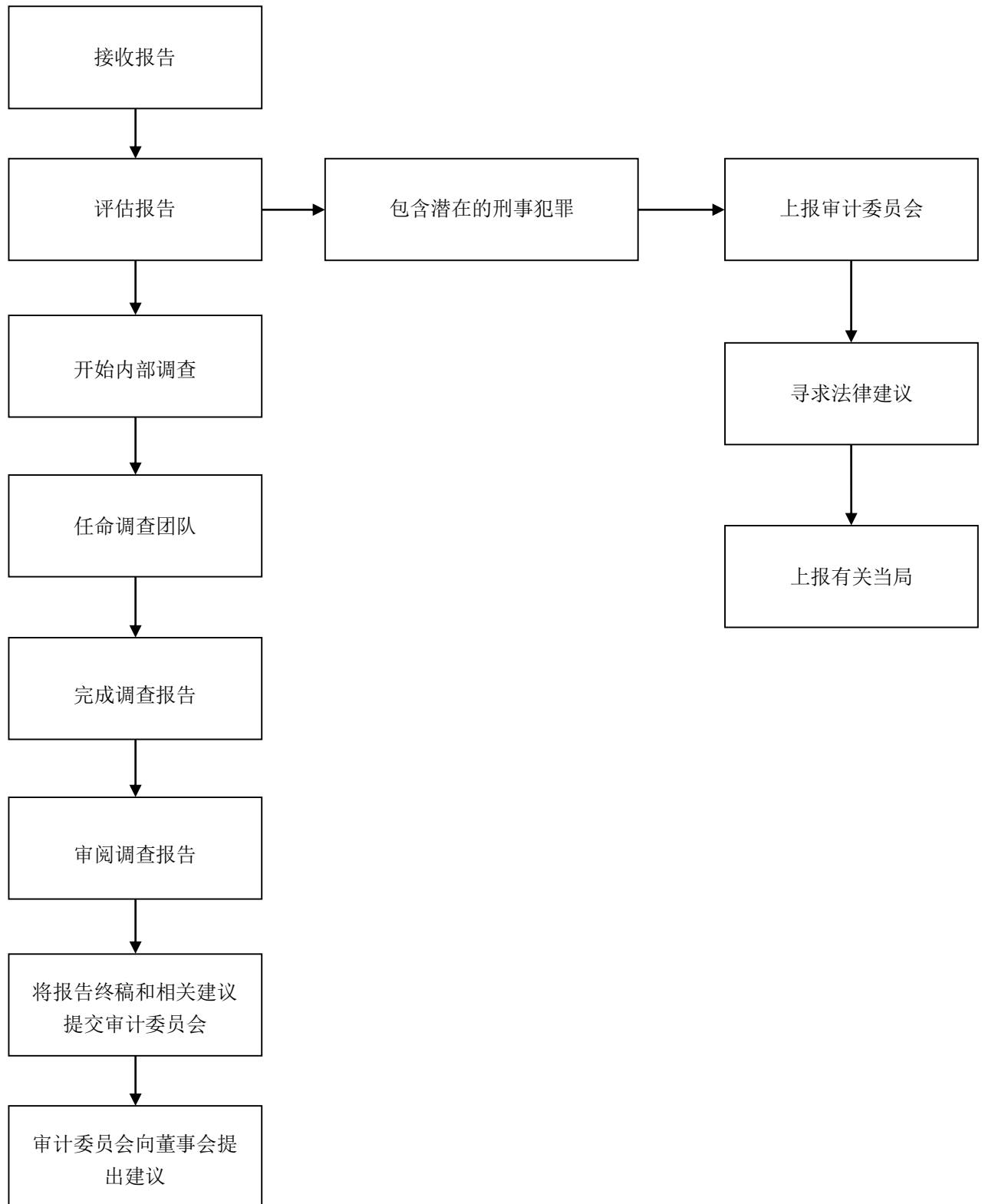
6.3.2 附件二《调查程序》

## 附件一：举报信息搜集表（保密）

<p>您的姓名/联系电话号码和电子邮件</p> <p>我们鼓励您在本报告中提供您的姓名。以匿名方式提出的举报不够有效，但在可行的情况下亦会被跟进处理。</p>	<p>姓名: _____</p> <p>员工 <input type="checkbox"/>      客户 <input type="checkbox"/>      供应商 <input type="checkbox"/></p> <p>其他（请指明） <input type="checkbox"/></p> <p><i>(请选择合适的选项)</i></p> <p>部      门      和      岗      位      :</p> <p>_____</p> <p><i>(仅员工需要填写)</i></p> <p>地址: _____</p> <p>_____</p> <p>电话: _____</p> <p>邮箱: _____</p> <p>日期: _____</p>
<p>涉及的人的姓名（如果已知的话）:</p> <p>_____</p>	
<p>具体内容:</p> <p>请提供您的担心的全部细节：包括姓名，日期和地点以及担心的原因（如需要可继续添加列表）以及任何支持性证据。</p> <p>_____</p>	



## 附件二：调查程序



End of Chinese version

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# 1 GENERAL PROVISIONS

## 1.1 General

The Company is committed to the highest possible standards of openness, probity and accountability. In line with that commitment, the Company expects and encourages its employees, customers, suppliers and other stakeholders who have concerns about any suspected misconduct or malpractice within the Company to come forward and voice those concerns.

While the Company could not guarantee that the outcome of any ensuing investigations would satisfy those who raised the concerns, the Company will endeavour to respond to the concerns fairly and properly.

## 1.2 Definitions

It is impossible to give an exhaustive list of the activities that constitute “misconduct” or “malpractice” activities but, broadly speaking, the Company would expect that the following be defined as “misconduct” or “malpractice” activities:

- 1.2.1 A criminal offence;
- 1.2.2 A failure to comply with any legal obligations;
- 1.2.3 A breach of company’s rules or regulations;
- 1.2.4 A misappropriation of assets or funds;
- 1.2.5 An act of sexual harassment or discrimination;
- 1.2.6 A miscarriage of justice;
- 1.2.7 A financial impropriety;
- 1.2.8 An action which endangers the health and safety of any individual;
- 1.2.9 An action which causes damage to the environment;
- 1.2.10 An action that potentially causes the information security risks;
- 1.2.11 An action leading to animal welfare concerns or non-compliance occurrences;
- 1.2.12 The deliberate concealment of information concerning any of the matters listed above.

While the Company does not expect that each of the misconduct or malpractice reported will be supported by absolute proof, the report should at least show the reasons for the concerns. If a report is made in good faith then, even if it is not confirmed by an investigation, your concerns would be valued and appreciated.

## 1.3 Scope

This Management Policy shall be applicable to WuXi Biologics (Cayman) Inc. (“WuXi Biologics”) and its worldwide holding subsidiaries and affiliated companies.

## **2 RESPONSIBILITY**

### **2.1 Company and Audit Committee**

#### **2.1.1 Protection and Support for Whistleblowers**

Persons making appropriate complaints under this policy are assured of protection against unfair dismissal, victimisation or unwarranted disciplinary action, even if the concerns turn out to be unsubstantiated.

Employees who victimise or retaliate against those who have raised concerns under this policy will be subject to disciplinary actions.

The Company must ensure that all employees, customers and suppliers would be able to raise concerns without fear of reprisals.

The Company should ensure that all customers and suppliers are encouraged to disclose any misconduct or malpractice of which they become aware.

#### **2.1.2 Responsibility for Implementation and Monitoring of Policy**

The Audit Committee of the Company (the “Audit Committee”) has overall responsibility for this policy, and has delegated day-to-day responsibility for overseeing and implementing it to the Internal Audit department. Responsibility for monitoring and reviewing the operation of this policy and any recommendations for action resulting from investigation into complaints lies with the Audit Committee.

### **2.2 Department Heads**

2.2.1 Should supervise and manage the behaviors of the employees under his/her supervision in various business areas, scientific research and business activities to comply with relevant laws and regulations, the Company’s SOPs and standards;

2.2.2 Should manage the complaints and reports filed by employees and managers from the Department under his/her supervision, promptly prevent "misconduct" or "malpractice" activities of employees and managers of the Department;

2.2.3 Fully support and cooperate with the work of the Company’s whistleblowing and investigation

2.2.4 Should supervise and urge the Department to rectify the problems found in investigation process and suggestion made in time, and inform the internal audit department and all relevant departments in writing of the rectification results.

### 2.3 All Employees

2.3.1 Should participate in the Whistleblowing and Investigation training organized by the Company on time, and reach the training time and standards specified by the Company;

2.3.2 Should refuse to implement any “misconduct” or “malpractice” activity, and report to the Internal Audit department any "misconduct " or "malpractice " activity of the Company or other employees they found or informed

2.3.3 Should actively cooperate with the company investigation, provide actual relevant information and document, must not refuse, obstruct, negatively treat or interfere with the investigation and evidence collection of the Company.

## **3 REPORT**

### 3.1 False Report

Employees who make a false report maliciously, with an ulterior motive, without reasonable grounds that the information in the report is accurate or reliable, or for personal gain, may face disciplinary actions up to dismissal.

### 3.2 Making a Report

3.2.1 A report can be made verbally or in writing in the standard report form attached to this policy as Appendix I.

3.2.2 For employees, the Company would expect the employee to raise his/her concerns internally to the employee’s immediate supervisor within the department.

3.2.3 If you feel uncomfortable doing this, for example, your immediate supervisor (or his or her superior) has declined to handle your case or it is the immediate supervisor (or his or her superior) who is the subject of the report, then you should contact the Internal Audit department.

3.2.4 For customers and suppliers, you should report your concerns to the Internal Audit department.

3.2.5 If the report is extremely serious or in any way involves the Internal Audit

department, the report should be made directly to the Chairman of the Audit Committee<sup>2</sup>.

3.2.6 In the report, you should provide full details and, where possible, supporting evidence.

3.2.7 In addition to the channels above, you can also report to IA\_biologics@wuxibiologics.com anytime should you have any concerns.

3.2.8 For any potential information security violation, you can report it to IS\_Biologics@wuxibiologics.com anytime.

### 3.3 Confidentiality

3.3.1 The Company will make every effort to keep your identity confidential. In order not to jeopardize the investigation, you should also keep the fact that you have filed a report, reported contents and information of people involved confidential.

3.3.2 There may be circumstances in which, because of the nature of the investigation, it will be necessary to disclose your identity. If such circumstances exist, the Company will endeavor to inform you that your identity is likely to be disclosed. If it is necessary for you to participate in an investigation, the fact that you made the original disclosure will, so far as is reasonably practicable, be kept confidential. However, it is also possible that your role as the whistleblower could still become apparent to third parties during the investigation.

3.3.3 Equally, should an investigation lead to a criminal prosecution, it may become necessary for you to provide evidence or be interviewed by the authorities. In these circumstances, the Company will, once again, endeavor to discuss with you the implications for confidentiality.

3.3.4 You should, however, know that in some circumstances, the Company may have to refer the matter to the authorities without prior notice or consultation with you.

### 3.4 Anonymous Report

3.4.1 The Company respects that sometimes a report may be filed in confidence. However, an anonymous allegation will be much more difficult for the Company to follow up simply because the Company will not be able to obtain further information from you and make a proper assessment.

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<sup>2</sup> Contact details can be found on Intranet

3.4.2 The Company generally does not encourage anonymous reporting and encourage you to come forward with your concerns.

#### **4 INVESTIGATION PROCEDURES**

- 4.1 For quick reference, please refer to the flowchart in Appendix II.
- 4.2 The Company will acknowledge receipt of your report within 3 [three] working days confirming that:
  - 4.2.1 Your report has been received;
  - 4.2.2 The matter will be investigated;
  - 4.2.3 Subject to legal constraint, you will be advised of the outcome in due course.
- 4.3 The Head of Internal Audit will be appointed to manage the report.
- 4.4 The Company will evaluate every report received to decide if a full investigation is necessary. If an investigation is warranted, an appropriate investigation team (with suitable seniority and without previous involvement in the matter, e.g.: Internal Audit, Compliance, Legal, HR and etc.) will be appointed to look into the matter.
- 4.5 Where the report discloses a possible illegal or criminal activity, the Company will refer the matter to the Audit Committee. The Audit Committee, in consultation with our legal advisers, will decide if the matter should be referred to the authorities for further action.
- 4.6 As stated under the section 'Confidentiality', in most cases, the Company will endeavor to discuss with you before referring a matter to the authorities. However, in some situations, the Company may have to refer the matter to the authorities without prior notice or consultation with you.
- 4.7 Please note that once the matter is referred to the authorities, the Company will not be able to take further action on the matter, including advising you of the referral.
- 4.8 You may be asked to provide more information during the course of the investigation.
- 4.9 The investigation report will be reviewed by a committee comprising senior officers such as Head of Internal Auditor, Human Resources Director or Head of Compliance.
- 4.10 Possible outcomes of the investigation:
  - 4.10.1 The allegation could not be substantiated;

- 4.10.2 The allegation is substantiated with one or both of the following:
  - 4.10.3 Corrective actions taken to ensure that the problem will not occur again;
  - 4.10.4 Disciplinary or appropriate actions against the wrongdoer.
- 4.11 A final report, with recommendations for change (if appropriate), will be produced to the Audit Committee. The Audit Committee will review the final report and make recommendations to the Board.
- 4.12 You will receive in writing the outcome of the investigation. Because of legal constraints, the Company will not be able to give you details of the action taken or a copy of the report.
- 4.13 If you are not satisfied with the outcome, you could raise the matter again with the Chairman of the Audit Committee. In such a case, you should make another report explaining why you are not satisfied with the outcome and if there is good reason, the Company will investigate into your concerns again.
- 4.14 You could, of course, raise the matter with an external authority such as a regulator or a law enforcement agency. Please ensure that you have sufficient evidence to support your concerns before reporting your concerns externally. We encourage you to discuss your concerns with the Head of Compliance before making such a report externally. You should also consult your legal advisers.

## **5 REWARDS & DISCIPLINARY ACTIONS AND INSPECTION**

### **5.1 Rewards & Disciplinary Actions**

- 5.1.1 In the case of a real-name report, if the report is verified by the Company's internal or external investigation, the Company will reward the informant with the recognition of commendation or monetary reward.
- 5.1.2 In the case of a malicious report, the Company will take disciplinary action against the informant according to the section of "false report".
- 5.1.3 Employees should cooperate with the Company in the investigation. For employees who obstruct or refuse to cooperate in the investigation, the disciplinary actions could be taken by the Company up to dismissal or sent back to the employment agency depending on the severity of the violation;
- 5.1.4 For the proven whistleblowing cases, the disciplinary actions could be taken to the relevant employees by the Company up to including written warning, dismissal or sent back to the employment agency depending on the severity of the violation. In case of illegal or criminal activities, the



Company shall deal with them in accordance with section 4.5;

5.1.5 For the unproven whistleblowing cases, but other violations are found in the investigation process and have an impact on the Company, the disciplinary actions could be taken to the relevant employees by the Company up to including oral warning, dismissal or sent back to the employment agency depending on the severity of the violation. In case of illegal or criminal activities, the Company shall deal with them in accordance with section 4.5;

5.1.6 For the above 5.1.4 and 5.1.5, the department managers of the reported employees could be held accountable for their management responsibilities according informed status; the department managers of the reported employees could be held stricter accountable for their management responsibilities, in case of intentional concealment or connivance of "misconduct " or "malpractice " activities of employees in the Department

5.1.7 The above 5.1.1~ 5.1.6 rewards and disciplinary actions will be implemented in line with Company Reward and Disciplinary Actions Policy or local HR disciplinary procedures.

## 5.2 Monitoring the Whistleblowing Policy and Procedure

The Audit Committee will review and monitor the effectiveness of this whistleblowing policy from time to time and make recommendations if necessary. The internal audit department is to follow up and take necessary actions.

## 6 SUPPLEMENTARY PROVISIONS

### 6.1 Effectiveness of the Rules

The regulations related to the management of whistleblowing and investigation of WuXi Biologics before the issuance of the Management System. In case of any inconsistency with the Management System, the Management System shall prevail.

### 6.2 Interpretation

The Department of Internal Audit of WuXi Biologics is responsible for the interpretation of this system.

### 6.3 Appendices

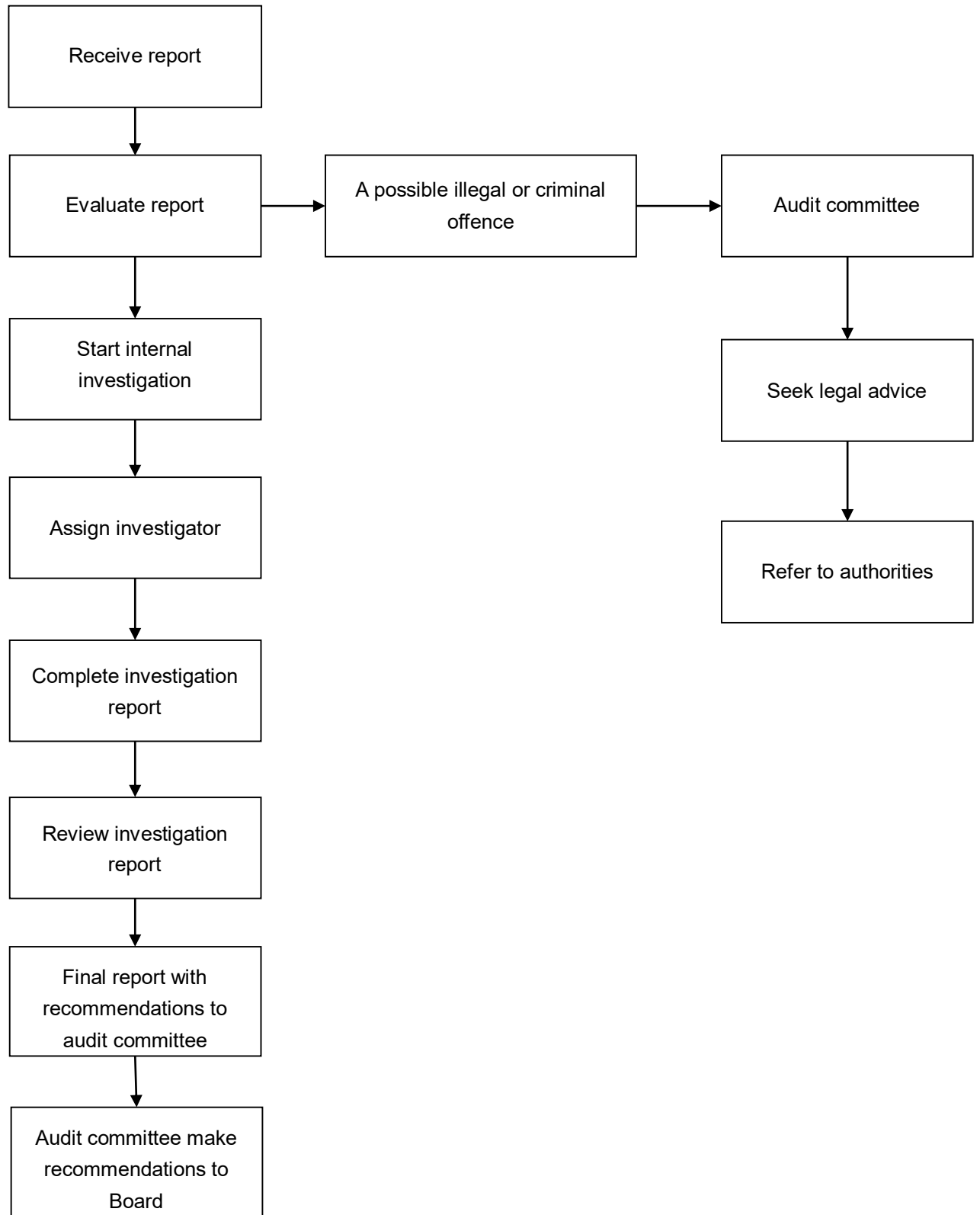
6.3.1 Appendix I< Whistleblowing report form >

### 6.3.2 Appendix II< Investigation procedures >

## Appendix I WHISTLEBLOWING REPORT FORM (CONFIDENTIAL)

<p>Your Name/Contact Telephone Number and Email</p> <p>We encourage you to provide your name with this report. Concerns expressed anonymously are much less powerful but they will be considered as far as practicable.</p>	<p>Name: _____</p> <p>Employee <input type="checkbox"/>      Customer <input type="checkbox"/>      Supplier <input type="checkbox"/> Others <input type="checkbox"/></p> <p><i>(please tick the appropriate box)</i></p> <p>Department _____ and _____ post: _____</p> <p><i>(to be filled in by employees only)</i></p> <p>Address: _____ _____</p> <p>Tel No: _____</p> <p>Email: _____</p> <p>Date: _____</p>
<p>The names of those involved (if known):</p>  	
<p>Details of concerns:</p> <p>Please provide full details of your concerns: names, dates and places and the reasons for the concerns (continue on separate sheet if necessary) together with any supporting evidence.</p>    	

## Appendix II INVESTIGATION PROCEDURES



End of English Version