



## **“INEOS SPEAK-UP!” POLICY**

### **Introduction**

INEOS is committed to the highest standards of openness and accountability amongst employees and recognises the need for clear and independent mechanisms through which employees can voice serious concerns in a responsible and effective manner without fear of reprisal in any form.

Employees have a duty not to disclose confidential information about the Company’s affairs, but they also have a right and a responsibility to report information that they believe shows serious malpractice or wrongdoing within the Company. The Company encourages employees to raise matters of serious concern in the workplace so that malpractice can be eliminated.

Employees can report such matters via:

- i) their line manager, other senior management, or;
- ii) the INEOS SPEAK-UP! telephone and web-reporting service (which is provided and operated by a third-party for INEOS for exactly this purpose).

This Policy does not apply to reporting events presenting an immediate threat to life or property, in respect of which you should immediately contact your local emergency authorities.

### **Scope of the Policy**

This “INEOS SPEAK-UP!” Policy is designed to enable employees to raise concerns internally at a high level and to disclose information that they believe shows that malpractice or wrongdoing has occurred or is likely to occur.

The Policy applies to serious issues such as:

- dangers to Safety, Health & the Environment (“SHE”) (which have not been addressed through the normal SHE process, see below)
- financial malpractice or impropriety or fraud
- failure to comply with a legal obligation or statutes
- criminal activity
- improper conduct or unethical behaviour
- attempts to conceal any of the above

It should be emphasised that this Policy is not designed as a mechanism for employees to question decisions or policies with which they do not agree, nor should it be used to report matters that can be addressed under other company procedures, such as grievance or disciplinary procedures.

## **Safeguards**

### **i. Protection**

This Policy is designed to offer protection to employees who disclose concerns provided that the disclosure is made in good faith and in the reasonable belief that it shows malpractice. Disclosures should not be false or malicious and should not be made for personal gain.

### **ii. Confidentiality and Anonymity**

All disclosures made in accordance with this Policy will be treated in a sensitive and strictly confidential manner. Any information provided will only be disclosed to those people who would need to be involved in order to properly investigate the issue, or if it is required to be disclosed by law or regulation.

Disclosures can be made anonymously through the third-party telephone or web-reporting service. However, this can make it very difficult to conduct a full and proper investigation and employees are therefore encouraged to disclose their identity when making reports. The Investigator will then only disclose the identity of the individual if absolutely necessary for the purposes of the investigation (or required by law), and only to those who need to know. If allegations are being made against another member of staff, then that person will not be sent a copy of the report and names will not be disclosed without specific consent.

### **iii. Untrue Allegations**

No action will be taken against an employee who makes an allegation in good faith, even if the allegation is not upheld by the subsequent investigation. However, employees should take care to ensure that the information they provide is accurate. Disciplinary action may be taken against an employee who makes malicious or vexatious allegations, particularly if they persist in making them.

## **Procedure for Making a Disclosure under this Policy**

### **1. Report to line manager or other appropriate senior management personnel**

Where they feel able to do so, employees should report any complaint of malpractice or wrongdoing in the first instance to their immediate line manager.

Having received a report/complaint, the line manager will then pass on the information as soon as reasonably possible to an appropriate Investigator as follows:

- Complaints of malpractice will normally be investigated by a designated member of senior management of the relevant Business unless the

complaint is against this person or in any way related to this person. In such cases the complaint would be passed to the CEO to nominate an alternative member of senior management to act as the Investigator.

- Complaints against the CEO would be passed to the Chairman to nominate an appropriate Investigator.
- The employee has the right to bypass the line management structure and take their complaint directly to the CEO or Chairman if they feel this is necessary due to the nature or circumstances of the complaint.

If, for any reason, none of the above routes are suitable or acceptable, employees can raise the complaint with the HR Director for the relevant Business, who is designated and trained as an independent point of contact under this procedure. The HR Director will advise the complainant on the implications of any applicable laws and the options available for addressing the concerns, both internal and external. The HR Director is also available to provide advice and guidance to the Investigator in all cases.

## **2. Report via third-party telephone or web-reporting service**

If an employee feels that they cannot report the matter to their line manager or any route outlined above, complaints may be reported via the third-party telephone or web-reporting service<sup>1</sup>. Reports of complaints or incidents received this way will be passed initially to an Investigator within the Group who is independent of the Business. If deemed necessary the case may be passed to senior management of a separate Business to investigate, or where appropriate to the employee's own Business, but the details will not be sent to any person identified as involved in the reported complaint/incident (unless required by law or unless the complaining party has given express consent).

If there is evidence of criminal activity, then the Investigator may be obliged to inform the police. The Company will ensure that any internal investigation does not hinder a formal police investigation.

Note: Employees MUST ALWAYS immediately report SHE incidents to their manager, in accordance with standard practice.

Reporting a SHE issue, previously reported to management, should only be done via the third-party telephone service or web-system if an employee believes that the matter has not been satisfactorily resolved or if, e.g. the severity of a (potentially) dangerous incident or circumstance has been wrongly recorded as of low importance.

### **Timescale**

As the nature of complaints can vary significantly, it is not possible to set precise timescales for investigations. The Investigator will ensure that the

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<sup>1</sup> Please see separate document for access and use details of the third-party telephone reporting numbers and web reporting system:  
Intranet: [ineos.intranet.ineos.com/speakup](http://ineos.intranet.ineos.com/speakup) Internet: [www.ineos.com/speakup](http://www.ineos.com/speakup)

investigations are undertaken as quickly as possible without affecting the quality of the investigation.

The Investigator will send a written acknowledgement of the concern to the complainant and thereafter report back to them in writing the outcome of the investigation and the action proposed. Alternatively, if the issue has been reported via the third-party telephone or web reporting system, the outcome will be recorded on that system so that the person who reported the issue can access it. If the investigation is prolonged, the Investigator will keep the complainant informed in writing, including on the web-reporting system if appropriate, as to the progress of the investigation and when it is likely to be concluded.

### **Procedure for Investigation**

Whether the complaint has been made through management or received through the third-party system, the Investigator will take the following steps:

- Obtain full details and clarification of the complaint
- Where a complaint relates to another member of staff, inform that person of the complaint (but do not details of the report unless required by law or unless the complaining party has given express consent)
- Consider the possible involvement of the company's external advisors and/or the police and consult with the CEO and the HR Director
- Investigate fully the allegations with the assistance of other individuals / bodies where appropriate
- Make a judgement concerning the complaint and its validity and detail the judgement in a written report to the CEO (or Chairman) and the HR Director containing the details of the investigation and the reasons for the judgement
- The CEO (or Chairman) will decide what action to take. If the complaint is judged to be justified, they will invoke the appropriate disciplinary rules and procedures of the company

If the complainant is not satisfied that their concern is being properly dealt with by the Investigator, they have the right to raise it in confidence with the Business CEO, the Business Chairman, the HR Director for the Business or the Group General Counsel (Head of Legal).

If the investigation finds the allegations to be unsubstantiated and all internal procedures have been exhausted but the complainant is not satisfied with the outcome of the investigation, the company recognises the right of the employee to seek external advice.

### **Cautionary Notes**

Making knowingly false or malicious allegations may be treated as a serious disciplinary offence. In addition, an individual who is subject to such a false or malicious allegation may have grounds to take legal action against the complainant.