

Whistleblowing Tool

Handbook

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Whistleblowing

Regulatory Overview



EU Whistleblower Directive

THE MOST IMPORTANT THING ABOUT THE DIRECTIVE



Dec. 2019 EU whistleblower directives: "Directive of the European Parliament and of the Council on the protection of persons reporting infringements of Union Law".



EU member states must transpose the requirements into national law by December 2021.



Affected by the directive and thus obliged to set up reporting channels are companies >50 employees, municipalities with >10,000 inhabitants.



Certain industries (e.g. financial services) are subject to the requirements regardless of the number of employees.



National implementation must protect against any form of retaliation (suspension, termination, demotion or denial of promotion, coercion, intimidation, discrimination, etc.).



Protection for all types of reports: Internal, external reports, as well as reports to the public.

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Relevance of the Directive for Switzerland

THE MOST IMPORTANT FACTS ABOUT THE DIRECTIVE FOR SWISS COMPANIES

- **Swiss companies** are **affected by the EU Directive** if their **subsidiaries** or affiliates are subject to **EU law**.
- Internationally active organizations in Switzerland that have **subsidiaries with > 50 employees in the EU** are affected.
- **BUT: No explicit protection for whistleblowers in Switzerland** → Courts decide on a case-by-case basis whether a report is justified and whether the related termination was lawful.
- **THIS MEANS:** Employees must fear being held responsible for breaches of **fiduciary duty, data protection** or **confidentiality obligations**.
- **HOWEVER:** Implement whistleblowing processes not only in the foreign subsidiaries, but throughout the entire organization.
 - **Consistent standards, corporate governance, speak-up culture, minimize risks, protect employees**

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EQS GROUP



The most trusted
whistleblowing system
in Switzerland and Europe

Zurich, 4 April 2022



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EQS Compliance Systeme – References Switzerland (excerpt)



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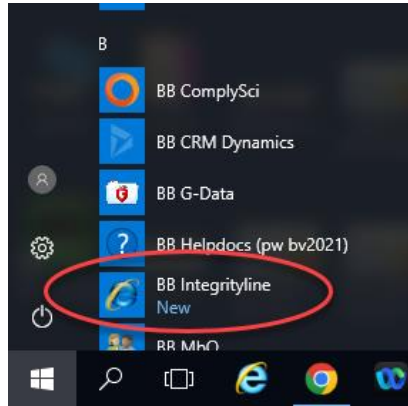
EQS Whistleblowing Systems – proven in the financial sector (reference excerpt)



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Log in:



Or

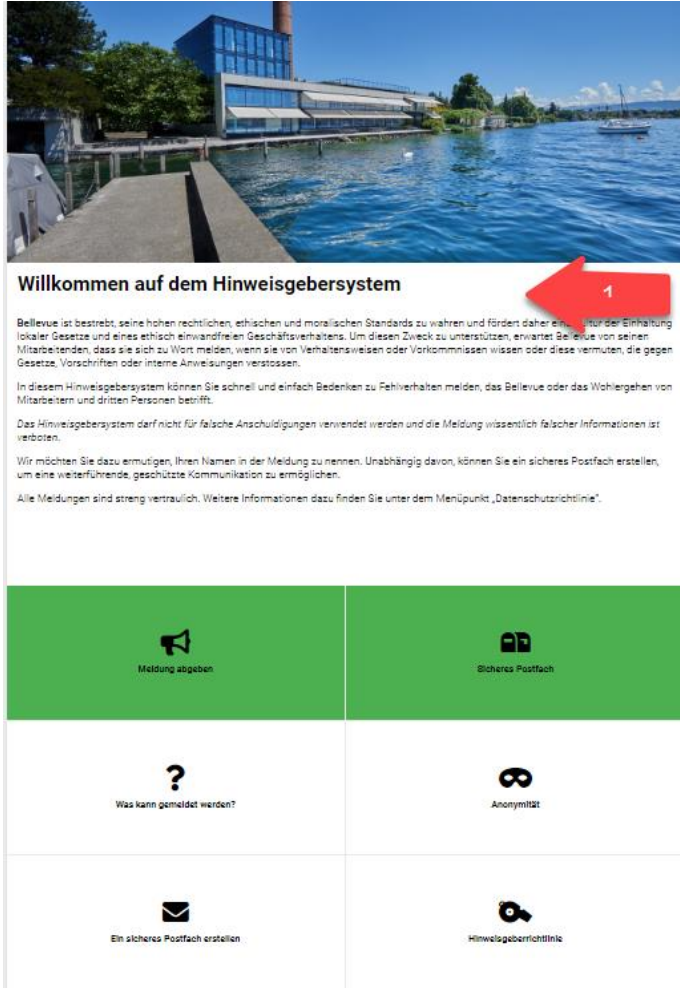
<https://bellevue.integrityline.com/frontpage>



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1. Reporting Channel: The secure reporting channel, where the reporter can submit a report to Bellevue.



Willkommen auf dem Hinweisgebersystem







Bellevue ist bestrebt, seine hohen rechtlichen, ethischen und moralischen Standards zu wahren und fördert daher eine Kultur der Einhaltung lokaler Gesetze und eines ethisch einwandfreien Geschäftsverhaltens. Um diesen Zweck zu unterstützen, erwartet Bellevue von seinen Mitarbeitenden, dass sie sich zu Wort melden, wenn sie von Verhaltensweisen oder Vorkommnissen wissen oder diese vermuten, die gegen Gesetze, Vorschriften oder interne Anweisungen verstoßen.

In diesem Hinweisgebersystem können Sie schnell und einfach Bedenken zu Fehlverhalten melden, das Bellevue oder das Wohlergehen von Mitarbeitenden und dritten Personen betrifft.

Das Hinweisgebersystem darf nicht für falsche Anschuldigungen verwendet werden und die Meldung wissentlich falscher Informationen ist verboten.

Wir möchten Sie dazu ermutigen, Ihren Namen in der Meldung zu nennen. Unabhängig davon, können Sie ein sicheres Postfach erstellen, um eine weiterführende, geschützte Kommunikation zu ermöglichen.

Alle Meldungen sind streng vertraulich. Weitere Informationen dazu finden Sie unter dem Menüpunkt „Datenschutzrichtlinie“.

 Meldung abgeben	 Sicheres Postfach
 Was kann gemeldet werden?	 Anonymität
 Ein sicheres Postfach erstellen	 Hinweisgeberrichtlinie

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Reporting Channel Overview



Willkommen auf dem Hinweisgebersystem

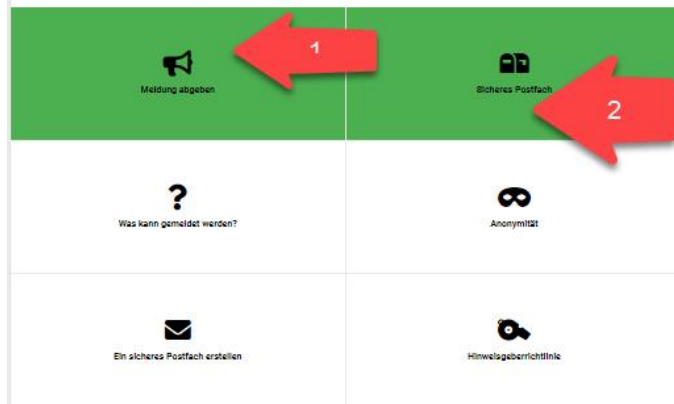
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- When there is a misconduct observed in the company, the reporter can report the incident in the company's reporting system
- The user can choose the country and the language and then file the misconduct.
- The interface consists of 6 main tiles – the two most important of them are:
 1. **Make a Report**: The reporter can click on “Go to Reporting” to file a report that has occurred in their company
 2. **Secure Inbox**: A secure channel between the reporter and the case manager for anonymous communication by a reporter

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Make a Report (1)




The screenshot shows a web interface for reporting an incident. At the top, there are navigation links: Home, Privacy policy, Secure postbox, Settings, and English (AU). Below this is a 'Go to reporting' button. The main form area contains several questions and input fields:

- 'What is your suspicion? *' with a large text area.
- 'Do you work in the organisation?' with a dropdown menu.
- 'In which company did the incident take place?' with a text input field.
- 'Please give the name of the affected department:' with a text input field.
- 'Who is involved in the incident?' with a text input field.
- 'In which country did the incident take place?' with a text input field.
- 'In which city did the incident occur?' with a text input field.

On the right side of the form, there are three icons: a microphone, a paperclip, and a document with a person icon. An orange arrow labeled '2' points to these icons, and another orange arrow labeled '1' points to the form fields. A large orange diagonal stamp with the word 'SAMPLE' is overlaid on the form.

1. In this section, the reporter can enter information about the incident. The fields in the questionnaire are customizable.

2. The reporter also has an option to :

-  Record a sound clip which will be encrypted and obfuscated
-  Attach any documents related to the misconduct
-  Upload pictures from their phone gallery etc.

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Make a Report (2)

Contact information

You can choose to submit the report anonymously, but we encourage you to provide your name and contact details in the fields below.

Stay anonymous

Name

Phone number

Email

Secure postbox

Please open an anonymous and secure postbox. That way you can anonymously submit more information about the case or answer potential questions. We can never find out who you are, even if you create the postbox.

Whether you wish to remain anonymous or not, we ask you to create a postbox, as this will ensure that the information remains in a secure and closed system

If you have already created a postbox on this device, use that PIN code to add this case to your secure postbox.

Enter your PIN code

PIN Code

Repeat PIN code

The PIN code must:

- Contain at least one capital letter.
- Contain at least one digit.

I have read and understand the Privacy Policy and accept the terms and conditions.
Click here to read the privacy policy

Send

1. Contact Information:

- The reporter has an option to stay anonymous or fill in the required name and contact details while filing the report

2. Secure Inbox:

- The reporter creates an anonymous inbox through which they can communicate with the case manager in a secure and anonymous way
- The inbox requires setting a PIN code through which the reporter can access it

3. Once all the necessary details are entered, confirm the privacy policy and click on Send

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Make a report (3)

Contact information

You can choose to submit the report anonymously, but we encourage you to provide your name and contact details in the fields below.

Stay anonymous

Name
Arthur Curry

Phone number
1234567899

Email
praseetha.thamaraseni@eqs.com

Secure postbox

Please open an anonymous and secure postbox to ask potential questions. We can never find out whether you wish to remain anonymous or not in a secure and closed system.

If you have already created a postbox on this site, you will be asked to log in to your secure postbox.

Enter your PIN code

PIN code

Repeat PIN code

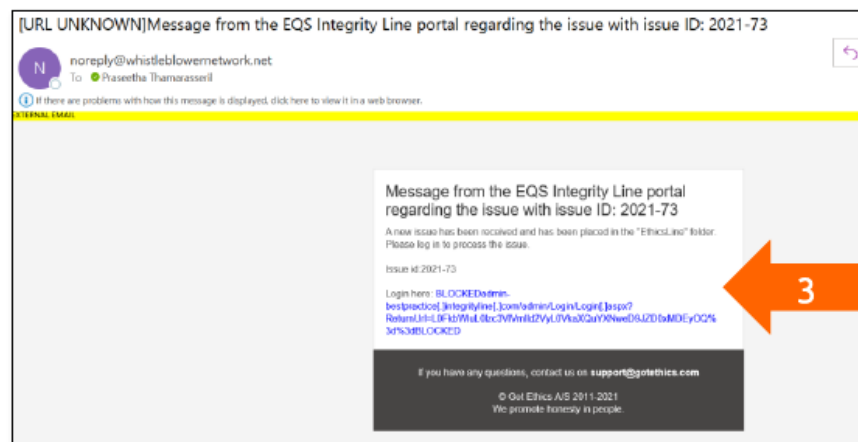
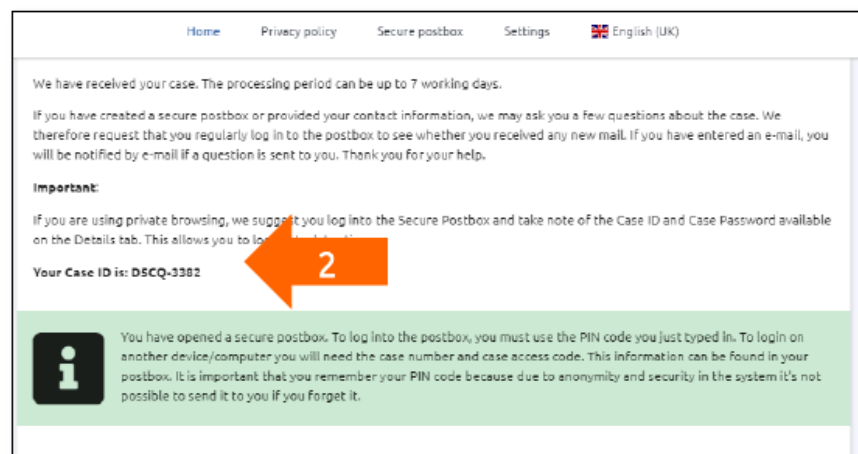
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Sent

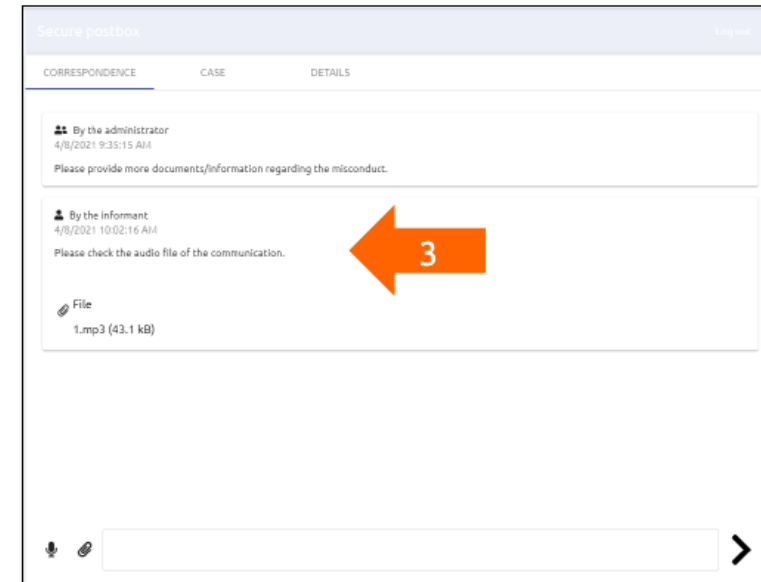
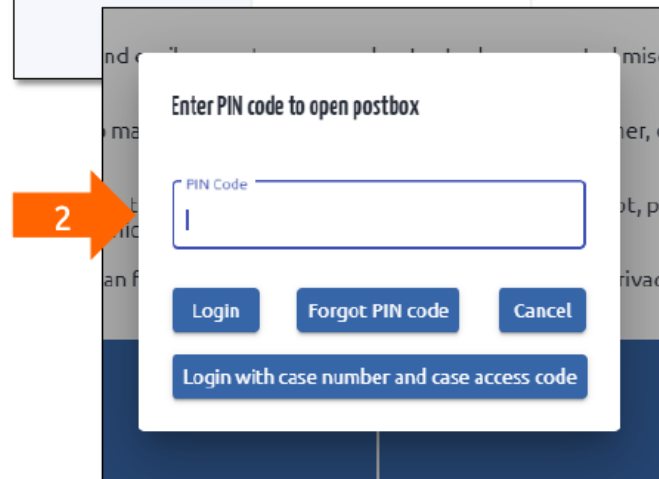
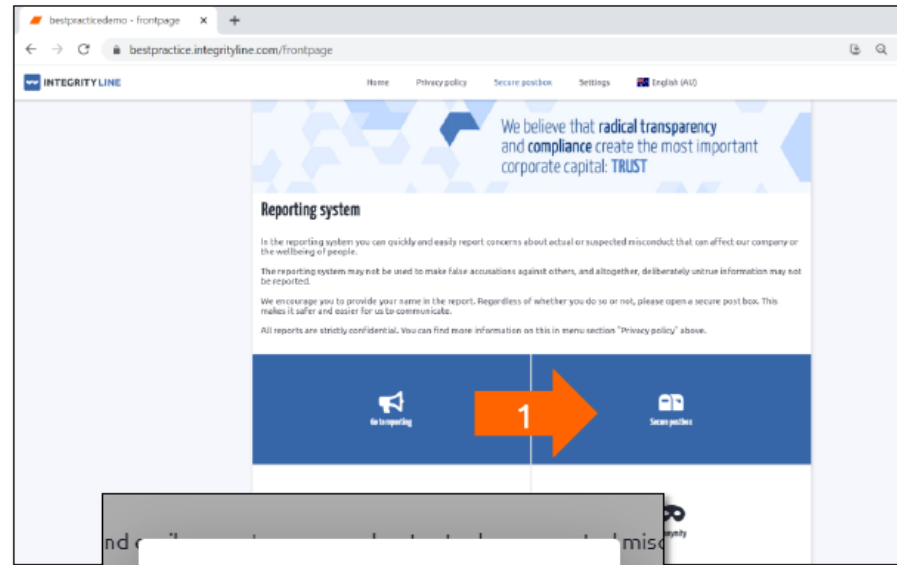
1. Once the report is submitted, the reporter is asked to solve a simple math problem to confirm they are not a robot
2. The Reporter is provided with the Case ID
3. As soon as the report is filed, the Case Manager receives an email about a new case that has been filed



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Secure Inbox



1. Reporters can log into the secure inbox to check for messages from the Case Manager or submit additional information.
2. The reporter has to enter the PIN Code to log into the Inbox
3. The messages from the Case Manager and the ones from the reporter are displayed in the inbox.

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If you are uncertain or have further questions, please contact the Compliance Office (compliance@bellevue.ch) or HR (HR@compliance.ch).