



**National Mobile Telecommunications  
Company K.S.C.P.  
Ooredoo Kuwait**

**Whistleblowing Policy & Procedures**



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## **1. Policy Objectives**

Ooredoo Kuwait is committed to high standards of transparency, integrity, compliance and accountability. The Whistleblowing Policy aims to provide means through which employees, contractors, customers and suppliers could, in good faith, report any activity that violates laws, regulations, policies, decisions, instructions or the Company's code of Business Conduct & Ethics.

This Policy establishes the mechanism for the receipt, analysis and processing of reports of violations of laws, regulations, policies, decisions, instructions or Company's Code of Business Conduct & Ethics. In addition, the policy also covers the issues related to the deficiencies in the system of internal controls, violation of confidentiality of the company information and fraud attempts or any errors that may have a negative impact on the company, employees, customers, shareholders, investors or others in general.

The policy also aims to:

- Help develop a culture of openness, accountability and integrity.
- Encourage staff to report suspected wrongdoing without fear from retaliation.
- Provide staff and other stakeholders with guidance as to how to raise their concerns.
- Enable Management to be informed at an early stage about acts of misconduct.
- Inform the Management of irregularities at an early stage.
- To reassure the employees of the company that they will be protected from punishment or unfair treatment as a result of their disclosure of the violations in a good faith.

## **2. Confidentiality and Protection**

Whistleblowing reports are kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. Ooredoo Kuwait is committed to protect the person who reports in good faith from retaliation.

## **3. Scope**

This Policy applies to all employees of the company (full-time, part-time and temporary), in addition to external parties, including agents, contractors, suppliers, customers and generally anyone who has business relationships with the Ooredoo Kuwait.

This policy governs the process of reporting and investigating inappropriate behaviour and illegal activities in the company. It does not apply to company policies and procedures regarding the individual employee's grievances or complaints relating to job performance, terms and conditions of employment as these matters fall within the jurisdiction of the Grievance & Investigation



Committees in accordance with grievances management process as provided in the Human Resources Policy of the company.

To ensure active implementation of this policy, the Company will publish this policy on its intranet and company websites. The company will also communicate this policy on an annual basis.

#### 4. Definitions

In the application of this Policy, words and phrases have the following meanings assigned to them, unless the context otherwise requires:

4.1 **The Company:** National Mobile Telecommunications Company K.S.C.P. ("Ooredoo Kuwait")

4.2 **ARC:** Audit & Risk Management Committee of the Board of Directors (Ooredoo Kuwait)

4.3 **Whistleblowing:** Any notice or disclosure of information which relates to suspected violations, wrongdoing, behaviors or practices that are not consistent with Ooredoo Kuwait Code of Business Conduct and Ethics, regulations, policies, decisions in force in the company, breach of a legal, statutory or regulatory requirement that may damage or prejudice the image of the Ooredoo Kuwait or its subsidiaries and affiliates.

4.4 **Whistleblower:** A person or entity that discloses improper or illegal activities, whether an Ooredoo Kuwait employees or third parties including, for example, applicants for employment, agents, consultants, suppliers, contractors, customers, partners or the general public. The role of the whistleblower is limited to reporting irregularities only, and ends at this point.

4.5 **Good Faith:** Good faith is assumed if reports are not made by malice or for personal benefit, and there is reasonable basis to believe that the report is true, and does not contain false information and data. In all cases, the good faith is associated with proving the authenticity of the report.

4.6 **Wrongdoing/Misconduct/Improper Activities:** These include practices, for example, financial fraud, violation of laws, regulations, policies, decisions, instructions, Code of Ethics and Business Conduct, mismanagement, abuse of power & authority, endangering health, safety and environment or neglect of duty.

4.7 **Protected Disclosures:** A disclosure of information that the individual reasonably believes that the information show violation, wrongdoing or practices and behaviors not consistent with Ooredoo Kuwait's code of Business Conduct and Ethics, regulations, policies, etc.

4.8 **Retaliation:** means any direct or indirect detrimental action that adversely affects the employment or working conditions of an individual, where such an action has been recommended, threatened or taken for the purpose of punishing or intimidating an individual because that individual engaged in an activity protected by this policy.



## 5 Reporting Channels

- 5.1 Any person may report perceived or actual violations/wrongdoings/misconduct on a confidential basis through either of the following:
- Ooredoo Kuwait website: [www.ooredoo.com.kw/Whistleblowing](http://www.ooredoo.com.kw/Whistleblowing) (*under development*).
  - Ooredoo Kuwait internal portal (Intranet “my Ooredoo”): [www.ooredoo.com.kw/EN/Whistleblowing](http://www.ooredoo.com.kw/EN/Whistleblowing) (*under development*).
  - Email: westleok@ooredoo.com.kw
  - Email: ChiefAudit@ooredoo.com.kw
  - Email: Chief Audit Executive\_ Anan Abdullah Fatayer (afatayer@ooredoo.com.kw)
  - Post:  
OK Chief Audit Executive  
Kuwait City  
Murqab, Al-Soor Street  
Wataniya HQ (26<sup>th</sup> floor)  
Safat 13007, Kuwait  
P.O.BOX (613)
  - Phone: +965 69079147  
Mobile: +965 66361147

The reporting channels described above will also be available on Ooredoo’s websites (*under development*).

- 5.2 The Ooredoo Kuwait Chief Audit Executive (OK CAE) shall notify the sender and acknowledge receipt of the reported violation within five (5) working days.
- 5.3 Relevant information will be required from the person reporting such misconduct or improper activities in accordance with Annex 1.
- 5.4 All reported complaints will be recorded in a register for proper monitoring and follow ups.
- 5.5 The identity of the Whistleblower, if known, shall remain confidential as far as possible.

## 6 Assessment of Whistleblowing Reports

All reported complaints/concerns are subject to the following assessments:

### 6.1 Preliminary Verification

- All reports/complaints received by the OK CAE shall be subject to preliminary verification, carried out exclusively on the basis of what is stated in the report and any initial information already available. This activity is carried out with the possible support of divisions/departments identified according to the area of responsibility (Legal, Security, Human Resources, Procurement, Finance, or other).
- Verification of reports/claims shall be carried out in due course after receiving the reports or complaints. Where this will be delays in verification of reports, the person



making the reports/complaints will receive an explanation for the delay.

- Upon completion of the preliminary verification, the OK CAE shall submit all the verified claims to the Audit & Risk Management Committee (ARC) for decision and the register shall be updated including the results of the verification along with details regarding the initial assessment of its impact on the company's image, reputation, operations and financial statements.

## **6.2 Investigating Alleged Misconduct of Improper Activities**

- The Audit & Risk Management Committee shall decide on whether the verified report will be subject to investigation or otherwise. In case the Audit & Risk Management Committee decides to investigate the matter, it has the following options:
  - a. Instruct the OK Chief Audit Executive to investigate the case, or
  - b. Form an Investigation Committee comprising of at least 3 members but not more than 5.

In all cases, the investigation results/reports shall be subject to the oversight of the ARC.

- The OK CAE or the Investigation Committee (as the case maybe) may involve other relevant parties as deemed appropriate.
- The OK CAE or the Investigation Committee (as the case maybe) may request and ask for the data and documents deemed necessary and appropriate, from relevant sources (divisions/departments of the company) and invite those whose presence is needed. All such necessary support shall be provided by the relevant quarters without any limitation.
- Staff members are required to cooperate with duly authorized investigations taken up under this policy as approved by the ARC.
- During the investigation, the person who reported the violations/misconduct may be, if required by the relevant forum, :
  - a. Invited for interview to ascertain his/her areas of concern.
  - b. Asked to make a written statement.
- Depending on the nature and seriousness of the complaint/report, the person(s) against whom the allegations are made may be suspended while investigations are undertaken after notifying the Chairman of the Audit & Risk Management Committee. For this purpose, processes as embedded in the Company's Human Resources Policy shall be followed.
- The OK CAE or the Investigation Committee (as the case maybe) shall:
  - a. Suspend or interrupt the investigation at any time if the whistleblowing report is determined to be unfounded; and a report shall be raised to the ARC for decision.
  - b. If it is established that the purpose of the report was to malign/defame an employee or division/department, this may result into necessary disciplinary/legal action against such person(s) as per final decision of the ARC.



## **7 Notification of the Results**

At the end of the investigation process, the OK Chief Audit Executive or the Investigation Committee (as the case maybe) shall:

- Submit the results of the investigation to the Audit & Risk Management Committee
- According to the decision of the ARC, the OK Chief Audit Executive shall:
  - a. Notify the CEO of the results of the investigation and ARC decisions
  - b. Notify the interested parties and whistleblower of the results of the investigation.
  - c. Coordinate with the concerned division(s)/department(s) to address violations and misconduct reported.
  - d. Update the complaints register with the Audit & Risk Management Committee decision/level of investigation/actions undertaken.

## **8 Follow up Activities**

The OK CAE shall monitor the progress of the implementation of the Audit & Risk Management Committee decisions arising from the results of the investigations.

## **9 Safekeeping of Documentation**

The OK CAE shall be responsible for safekeeping and disposal of the related documentation (hard copy or electronic).

All the documentation shall be kept in accordance with the Company's document retention policy.

## **10 Approvals and Amendments**

This policy and any subsequent amendments needs to be approved by Ooredoo Kuwait Audit & Risk Management Committee. The ownership of this policy will remain with OK Chief Audit Executive.



## Annex 1

### Whistleblower Report Form

Please provide the following details for any suspected serious misconduct or wrongdoings or any breach or suspected breach of law or regulation that may adversely impact the Ooredoo Kuwait and submit directly to the Ooredoo Kuwait Chief Audit Executive. Please note that you may be called upon to assist in the investigation, if required.

<b>REPORTER'S CONTACT INFORMATION</b>	
NAME	
CONTACT NUMBERS	
E-MAIL ADDRESS	
<b>SUSPECT'S INFORMATION</b>	
NAME	
DEPARTMENT/SECTION	
CONTACT NUMBERS	
E-MAIL ADDRESS	
<b>COMPLAINT:</b> <i>Briefly describe the misconduct / improper activity and how you know about it. Specify what, who, when, where and how. If there is more than one allegation, number each allegation and use as many pages as necessary.</i>	
1. What misconduct / improper activity occurred?	
2. Who committed the misconduct / improper activity?	
3. When did it happen and when did you notice it?	
4. Where did it happen?	
5. Is there any evidence that you could provide us?*	
6. Are there any other parties involved other than the suspect stated above?	
7. Do you have any other details or information which would assist us in the investigation?	
8. Any other comments?	
Date:	Signature (Optional):

*Note: Please follow the guidelines as laid out in the Whistleblowing Procedure*



## الملحق (1)

### نموذج الإبلاغ عن المخالفات

يرجى تقديم البيانات التالية لأي اشتباه جدي في سوء سلوك أو مخالفات أو أي خرق أو اشتباه بوجود خرق للقانون أو اللوائح والسياسات أو القرارات أو التعليمات التي قد تؤثر سلباً على الشركة وتقديمها مباشرة إلى رئيس قطاع التدقيق الداخلي في أوريدو الكويت.

بيانات مقدم التقرير	
الاسم	
رقم الهاتف	
البريد الإلكتروني	
بيانات المشتبه فيه	
الاسم	
الدائرة / القسم	
رقم الهاتف	
البريد الإلكتروني	
<b>البلاغ:</b> وصف مختصر لسوء السلوك / التصرف الغير سليم وكيف أمكنك معرفته. حدد ما هو الانتهاك ومن هو مرتكبه ومتى وأين وكيف تم ارتكابه . إذا كان هناك أكثر من إدعاء قم بتقييم الإدعاءات واستخدم العديد من الصفحات حسب الضرورة	
1- ما هو سوء السلوك / النشاط الغير سليم الذي حدث؟	
2- من قام بهذا السلوك / النشاط غير سليم؟	
3- متى حدث ومتى لاحظته؟	
4- أين حدث؟	
5- هل لديك أي أدلة يمكن أن تقدمها لنا؟	
6- هل هناك أي أطراف أخرى متورطة في الحدث المذكور أعلاه؟	
7- هل لديك أي معلومات أو بيانات أخرى قد تفيدنا في التحقيق؟	
8- هل لديك أي ملاحظات أخرى؟	
التاريخ:	التوقيع (اختياري):

يرجى العلم بأنه قد يتم استدعاءك للحصول على معلومات تساعد في التحقيق إذا تطلب الأمر ذلك.