

# Reporting of Concerns Policy



Servier Laboratories Limited. Registered in England No. 783023

Servier Research and Development Limited. Registered in England No. 01455876

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## INTRODUCTION

Employees (past/present), workers, agency workers, consultants, volunteers/interns, job applicants, trustees or employees under the supervision or direction or subcontractors, contractors or suppliers are often the first to realise that there may be something seriously wrong within Servier Laboratories Limited or Servier Research and Development Limited “Servier” and/or the supply chain of any suppliers. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to Servier. They may also fear harassment or victimisation. In these circumstances it may be easier to ignore the concern rather than report what may just be a suspicion of malpractice.

Servier is committed to the highest possible standards of openness, probity and accountability. In line with that commitment we expect employees, and others, who have concerns in the public interest or reasonable belief of wrongdoing about any aspect of Servier's work and/or the supply chain of any suppliers, to come forward and voice those concerns. It is recognised that most cases will have to proceed on a confidential basis.

This Policy makes it clear that employees, or others, can do so without fear of victimisation, subsequent discrimination or disadvantage. This Policy is intended to encourage and enable employees, or others, to raise concerns within Servier rather than overlooking a problem or raising it outside.

This Policy applies to all employees (past/present) and those contractors working for Servier on Servier premises, for example, agency staff, consultants, etc. It also covers volunteers/interns, job applicants, trustees, suppliers and those providing services under a contract with Servier from their own premises.

This Policy takes into consideration the Public Interest Disclosure Act 1998 (PIDA) and Enterprise and Regulatory Reform Act 2013 (ERRA) in the UK, and the EU Directive 2019/1937, 23<sup>rd</sup> October 2019, on the protection of persons who report breaches of Union law. Servier reserves the right to amend the policy and procedure as necessary to meet any change in requirements.

### 1. AIMS AND SCOPE OF THIS POLICY

This Policy aims to:

- encourage you to feel confident in raising concerns and to question and act upon concerns about practice.
- provide avenues for you to raise those concerns and receive feedback on any action taken.
- ensure that you receive a response to your concerns and that you are aware of how to pursue them if you are not satisfied (e.g. legal aid).
- reassure you that you will be protected from possible reprisals or victimisation if you have a reasonable belief that you have made any disclosure in good faith.

Servier has other policies and procedures in place to enable employees and consultants to lodge a grievance relating to your own employment. The Disciplinary, Grievance, and Equal Opportunities policies also address standards of behaviour at work. The relevant policy should be followed where appropriate. The Group also has an Ethics Line Policy that you can follow. This Policy does not replace the grievance procedure, which relates to your individual terms and conditions of employment or own treatment as an employee.

Any concerns that you have about any aspect of Servier's activities or the conduct of employees of Servier or others acting on behalf of Servier and/or the supply chain of any suppliers can be reported under this Policy or under the Group Ethics Line available on the Servier UK website.

These include but are not limited to:

- conduct which is an offence or a breach of law
- possible fraud and passive or active bribery
- disclosures related to miscarriages of justice
- modern slavery and human trafficking
- other unethical conduct

This may be about something that:

- makes you feel uncomfortable in terms of known standards or the standards you believe Servier subscribes to; or
- is against Servier's SOPs, regulations and policies, including external guidelines Servier subscribes to, such as the ABPI Code of Practice, or Good Clinical Practices; or
- falls below established standards of practice; or
- amounts to improper conduct

## 2. THE RESPONSIBLE OFFICER

The Managing Director has overall responsibility for this Policy. The day-to-day maintenance and operation of this Policy will be undertaken by Human Resources and Compliance, who maintains a record of concerns raised and the outcome (but in a form which does not endanger your confidentiality) and will report as necessary to the Managing Director.

## 3. SAFEGUARDS

### Harassment or victimisation

Servier is committed to good practice and high standards and wants to be supportive of employees, and others.

Servier recognises that the decision to report a concern may not be easy. If you have a reasonable belief of a wrong doing, you should have nothing to fear.

Servier will not tolerate any harassment or victimisation (including informal pressures) from your colleagues, peers, managers or from external sources, and will take appropriate action to protect you when you raise a concern in good faith. Any harassment or victimisation will be treated as a serious disciplinary offence and be dealt with under the disciplinary rules and procedure.

Any investigation into allegations of potential malpractice will not influence or be influenced by any disciplinary or redundancy procedures that already affect you. This does not mean that if you are already the subject of disciplinary or redundancy procedures, that those procedures will be halted as a result of your whistle blowing.

#### 4. CONFIDENTIALITY

All concerns will be treated in confidence and Servier will keep your identity secret if you so wish. It must be appreciated that the investigation process may reveal the source of the information and a statement by you may be required as part of the evidence. At the appropriate time, you may need to come forward as a witness.

The categories of personal data collected for the purposes of investigating your concern will be as detailed in the Group Ethics Line Policy.

#### 5. ANONYMOUS ALLEGATIONS

This Policy encourages you to put your name to your allegation whenever possible.

Concerns expressed anonymously are much less powerful but will be considered at the discretion of Servier.

In exercising this discretion, the factors to be taken into account would include:

- the seriousness of the issues raised
- the credibility of the concern; and
- the likelihood of confirming the allegation from attributable sources.

#### 6. UNTRUE ALLEGATIONS

Only genuine concerns should be reported. Disclosures must be made in good faith with a reasonable belief that the allegation and any information in it, is substantially true. If you make an allegation in good faith, but it is not upheld by the investigation, no action will be taken against you. If, however, you make an allegation frivolously, vexaciously, maliciously, or for personal gain, this will be treated as a serious disciplinary offence and disciplinary action may be taken against you.

#### 7. HOW TO RAISE A CONCERN

As a first step, you should normally raise concerns with your Line Manager or their superior, who would then report it to the Responsible Officer. This depends, however, on the seriousness and sensitivity of the issues involved and who is suspected of malpractice. For example, if you believe that management is involved you should approach Human Resources, the Chief Executive Officer or Compliance, whoever you deem appropriate for the nature of the concern. You may also raise your concern to the Group Ethics Line (<https://servier.whispli.com/ethicsline>).

Concerns may be raised verbally or in writing. Should you wish to make a written report, you are requested to include the following information:

- the background and history of the concern (giving relevant dates);
- the reason why you are particularly concerned about the situation.

The earlier you express the concern the easier it is to take action.

Although you are not expected to prove beyond doubt the truth of an allegation, you will need to demonstrate to the person contacted that there are reasonable grounds for your concern.

If ultimately you feel you have to take the matter externally, please refer to Section 9 of this Policy.

You may invite a fellow employee or a trade union official to be present during any meetings or interviews in connection with the concerns you have raised.

## 8. HOW THE COMPANY WILL RESPOND

Servier will respond to your concerns. Do not forget that agreeing to investigate / investigating your concerns is not the same as either accepting or rejecting them. The concern will be reported to the Responsible Officer.

Where appropriate, the matters raised may:

- be investigated internally
- be referred to the Police
- be referred to an external Auditor
- form the subject of an independent inquiry

In order to protect individuals and those accused of misdeeds or possible malpractice, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take.

Some concerns may be resolved by agreed action without the need for investigation. If urgent action is required this will be taken before any investigation is conducted.

The Responsible Officer will write to you within 7 days of a concern being raised:

- acknowledging that the concern has been received
- indicating how Servier proposes to deal with the matter
- giving an estimate of how long it will take to provide a final response
- telling you whether any initial enquiries have been made
- supplying you with information on staff support mechanisms, and
- telling you whether further investigations will take place and if not, the reason why.

The amount of contact between the investigating Responsible Officer and you will depend on the nature of the matters raised, the potential difficulties involved, and the clarity of the information provided. If necessary, Servier will seek further information from you.

The Responsible Officer will investigate your concern/s as follows:

- if appropriate, arrange an initial interview with you to ascertain your area/s of concern. The notes taken during the interview will be sent to you to confirm as being an accurate record of what was discussed.
- you will be asked whether you want your identity to be disclosed and will be reassured about protection from possible victimisation or possible reprisals.
- you will be asked if you are prepared to make a verbal or written statement (if you have not already done so).

Your Line Manager, the Responsible Officer, a more senior manager, or external person or body as appropriate, will then conduct further investigations. They will complete the investigation within 3 months.

The person against whom the disclosure is made will normally be told at an early stage, provided with the supporting evidence and be allowed to respond. However, it may be necessary to conduct

the investigation in confidence (i.e. without informing the subject of the allegation/s) until (or if) it becomes necessary to do so. Alternatively, depending on the nature and seriousness of the complaint, the person/s against whom the allegation/s is/are made may be suspended while investigations are on-going.

If it is not possible to comply with the timescales set out above, you will be informed and given a revised timescale.

If any meeting is arranged, off-site if you so wish, you can be accompanied by a fellow employee or a trade union official.

Servier will take steps to minimise any difficulties which you may experience as a result of raising a concern. For instance, if you are required to give evidence in criminal or disciplinary proceedings Servier will arrange for you to receive advice about the procedure.

Servier recognises that you need to be assured that the matter has been properly addressed. Therefore, subject to legal constraints, we will inform you of the outcome of any investigation (including any disciplinary investigation). The exact nature of any disciplinary action taken against any person will remain confidential.

The personal data collected for the purposes of investigating your concern may be transferred outside the European Union and/or will be retained as detailed in the Group Ethics Line Policy. To exercise your rights on your personal data contact the Servier Data Protection Contact: [DataPrivacy-uk@servier.com](mailto:DataPrivacy-uk@servier.com).

## **9. HOW THE MATTER CAN BE TAKEN FURTHER**

This Policy is intended to provide you with an avenue within Servier to raise concerns. Servier hopes that you will be satisfied with any action taken. If you are not satisfied and if you feel it is right to take the matter outside Servier, you should ensure that you do not disclose confidential information and Servier can support you with seeking legal aid.

**Servier Laboratories Limited.**

**Servier Research and Development Limited.**

**UPDATED October 2021**