



URIM's Whistleblowing Policy (WP) applies to everyone who carries out work for us globally.

Introduction

URIM is committed to conducting our business with honesty and integrity and we expect all staff to maintain high standards in accordance with our prevailing policies and procedures. However, all organisations face the risk of things going wrong from time to time, or of unknowingly harbouring illegal or unethical conduct. A culture of openness and accountability is deemed essential, in order to ideally prevent such situations occurring, or to address them decisively if and when they do occur.

The aims of this policy are:

- To encourage staff to report suspected wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously, investigated appropriately and that their confidentiality will be respected
- To provide staff with guidance as to how to raise those concerns
- To reassure staff that they should be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken

Who does this policy apply to?

This policy applies to everyone who carries out work for URIM, including:

- Partners
- All employees
- Contractors and sub-contractors
- Agency staff
- Consultants
- Apprentices, those on work experience, or other trainees

What is whistleblowing?

Whistleblowing is the disclosure of information, which relates to **suspected** wrongdoing (generally a breach of a legal, statutory or regulatory requirement, or unethical, immoral behaviour). This may include:

- Breach of a legal requirement - e.g. health and safety obligations, by the firm and/or an individual
- General malpractice - such as immoral, illegal, or unethical conduct
- Gross misconduct
- Money laundering
- Potential breach of the requirements in, or made under, the Financial Services and Markets Act 2000 (including FCA rules); The Pensions Act 2004, Proceeds of Crime Act 2002 or Bribery Act 2010
- Breach of the firm's Global Sourcing Principles
- Breach of audit (or other applicable) regulations
- Breach of prevailing codes of conduct, or other relevant Company Policies

If you have any genuine concerns related to any of the above, you should report it under this policy.

If you are uncertain whether something is within the scope of this policy you should seek advice from the URIM [CEO](#), via email to ceo@urim.app.



Protected disclosures

An individual making a “protected disclosure” is given all relevant statutory protection from victimisation under the UK’s Public Interest Disclosure Act 1998 (PIDA), provided the disclosure is in the public interest.

A “protected disclosure” is any disclosure of information, which - in the reasonable belief of the individual making the disclosure - tends to show that one or more of the following has been committed, is being committed or is likely to be committed. The disclosure must be made in accordance with certain conditions - these conditions are less onerous if the disclosure is made internally:

- A criminal offence
- A failure to comply with any legal obligation
- A miscarriage of justice
- The putting of someone’s health or safety in danger
- Damage to the environment
- Deliberate concealment of information relating to any of the above

It is immaterial whether the information is confidential and whether the incident occurred, occurs, or would occur in the UK (URIM’s home jurisdiction) or elsewhere and whether the law applying to it is that of the UK or of any other country or territory. A legal obligation can include a contractual or other civil obligation as well as an obligation under criminal law. Certain instances of wrongdoing as described above under “What is whistleblowing”, (for example breaches of codes of conduct of professional institutions), do not constitute a protected disclosure. You should seek advice if unsure on this point. (See ‘Where can I get independent advice?’ below).

Raising a whistleblowing concern

All whistleblowing disclosures will be treated as confidential and will be reported to the [CEO](#).

You should make it clear that you are making your disclosure within the terms of URIM’s whistleblowing Policy. This will ensure the recipient of the disclosure realises this and takes the necessary action to investigate the disclosure and to protect the whistleblower’s identity. URIM’s designated person or agent, will then get in touch with you to discuss your concern. We will aim to keep you informed of the progress of the investigation and its likely timescale. However, sometimes the need for confidentiality may prevent us giving you specific details of the investigation or any disciplinary action taken as a result.

You should treat any information about the investigation as confidential. While we cannot always guarantee the outcome you are seeking, we will try to deal with your concern fairly and in an appropriate way. By using this policy you can help us to achieve this. If you are not happy with the way in which your concern has been handled, you can raise it with the [CEO](#).

Confidentiality

We hope that staff will feel able to voice concerns openly under this policy. However, if you want to raise your concern confidentially, we will make every effort to keep your identity secret. If it is necessary for anyone investigating your concern to know your identity, we will discuss this with you.

We do not encourage staff to raise concerns anonymously. Proper investigation may be more difficult or impossible if we cannot obtain further information from you. It is also more difficult to establish whether any allegations are **credible**. If you are concerned about possible reprisals if your identity is revealed, you should come forward to the [CEO](#) and appropriate measures can be taken to preserve confidentiality. Anonymous concerns will nevertheless be taken seriously and investigated as fully as possible. The firm is not accountable for maintaining anonymity where you have told others of the alleged misdemeanour.



Protection and support for whistleblowers

It is understandable that whistleblowers are sometimes worried about possible repercussions. We aim to encourage openness and will support staff members that raise genuine concerns under this policy, even if they turn out to be mistaken.

External disclosures

The aim of this policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the workplace. In most cases you should not find it necessary to alert anyone externally. In some circumstances it may be appropriate for you to report your concerns to an external body such as a regulator, e.g. the ICO. It will rarely if ever be appropriate to alert the media. We strongly encourage you to seek advice before reporting a concern to anyone external.

The independent whistleblowing charity, **Public Concern at Work**, operates a confidential helpline. They also have a list of prescribed regulators for reporting certain types of concern. Their contact details are at the end of this policy.

Other relevant external bodies include:

- The Information Commissioner for compliance with the requirements of legislation relating to data protection

This and other such bodies, set standards for corporate reporting practice and monitor and enforce standards. They are therefore of great relevance to URIM and its stakeholders.

Where can I get independent advice?

Individuals can contact the independent charity Public Concern at Work for free, independent and confidential advice, for example to find out what is protected by PIDA and how best to raise concerns. The charity runs a UK helpline on 020 3117 2520 and a Scottish helpline on 0141 550 7572.

Version Control:

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1.0	01/04/19	IH	Initial Version