

Ethics & Compliance

Speak Out Group Policy 2.5



Mandatory Policy

Office Responsible: Ethics & Compliance, Legal
Reviewed: 6 Oct 2021 Effective: 11 Oct 2021
Supersedes: Not applicable Approver: Group GC & HRD
Preparer: E&C Counsel Owner: SVP E&C



WHO CAN I TALK TO?
Step 2

IF IT'S A RESPECT ISSUE (E.G. INAPPROPRIATE LANGUAGE, HARASSING/DISRESPECTFUL BEHAVIOUR), TALK TO THE PERSON INVOLVED

OR
TALK TO YOUR MANAGER, HR TEAM, LEGAL TEAM

Step 3
YOU CAN ALSO USE ONE OF THE FOLLOWING OPTIONS

SEND AN EMAIL TO [SPEAKOUT@SMITHS.COM](mailto:speakout@smiths.com)

OR
speakout.smiths.com/

OR
CONTACT ETHICS & COMPLIANCE


WE UNDERSTAND IT IS NOT ALWAYS EASY TO RAISE CONCERNS ABOUT POSSIBLE MISCONDUCT BUT IT IS YOUR DUTY TO SPEAK OUT

ANY CONCERN WILL BE DEALT WITH APPROPRIATELY, CONFIDENTIALLY, AND WILL NOT BE SUBJECT TO RETALIATION

Background

At Smiths we are committed to conducting our business with honesty and integrity. We expect everyone to maintain high standards and honour our Code of Business Ethics. A culture of openness and accountability is essential to preventing illegal or unethical conduct and to being able to address issues should they occur. Remaining silent about possible misconduct may worsen a situation. If in doubt, speak out.

This Group Policy 2.5 – Speak Out applies to all employees of Smiths Group and its Divisions. The Policy encourages everyone to report suspected wrongdoing through appropriate channels, provides guidance on how to report concerns, explains Smiths’ investigations process, and reminds colleagues that Smiths’ will not tolerate any form of retaliation against anyone who raises a concern.

Policy 2.5 – Speak Out

Who should speak out?

Anyone who wishes to raise a concern about possible misconduct or behaviour within Smiths or one of its business partners should speak out.

Anyone can speak out by reporting an issue to leadership at Smiths Group or any Division, or by submitting the concern to Smiths’ Speak Out hotline. This includes, but is not limited to, anyone who works for or on behalf of Smiths (such as colleagues, interns, contractors, and temporary workers), or anyone who has had a business relationship with Smiths (such as business partners, suppliers, shareholders, agents, distributors, representatives, government officials, and customers).

What types of issues should be reported to the Speak Out hotline?

The Speak Out hotline should be used to raise genuine concerns about any misconduct, suspected wrongdoing or dangers at work within Smiths or by its business partners. Misconduct includes any violation of the law, Smiths Code of Business Ethics, its Supplier Code of Ethics, its Human Rights Policy or any other Policies under which Smiths operates.

Examples of concerns that should be raised using the Speak Out hotline:

- Fraud, concerns about accounting or auditing matters
- Discrimination or harassment

- Violations of competition or public procurement laws and rules
- Inadequate financial or non-financial record-keeping
- Conflicts of interest
- Bribery or corruption
- Violations of our Human Rights Policy, including forced/involuntary labour, child labour, inhumane treatment in the workplace, workplace inequality/bias, the right to a living wage, the right to reasonable working hours and vacation, freedom of association, the right to a safe and healthy workplace
- Environmental, health and safety issues including product safety issues
- Improper use of company resources
- Disclosure of confidential information
- Violations of our policies on gifts, meals and hospitality
- Breach of our data protection obligations
- Tax evasion or the facilitation of tax evasion
- Money laundering or terrorist financing
- Conduct likely to damage our reputation or financial wellbeing
- Violations of export and import controls laws, rules or policies
- Failure to comply with any legal or professional obligation or regulatory requirements
- The deliberate concealment of any of the above matters

What types of concerns are better suited for other reporting channels?

- Immediate threats to life, safety, or property. For this, contact local authorities through your local emergency phone number, and your local management, as appropriate.
- Questions or grievances you may have in relation to your employment terms. For this, contact your line manager or your local or regional Human Resources colleague.
- Interpersonal disagreements or questions about your performance review. For this, first consider whether the most effective way of addressing it is to discuss it with the person involved. You may also raise the concern with your line manager or your local or regional Human Resources colleague.
- False accusations. Submitting false accusations may lead to disciplinary measures.

Who should I speak to first?

As a general guideline, if your concern relates to a disagreement or disrespect, first consider whether the most effective way of addressing it is to discuss it with the person involved. If this would not be appropriate, you may raise it through any of the following channels.

For other concerns, the first person to approach when raising any concern is often your line manager, a Human Resources colleague, or a Legal team colleague.

If you suspect misconduct and believe it cannot or should not be dealt with through the available channels within your Division, or if you feel uncomfortable speaking with these colleagues, you should use the Speak Out hotline.

How can I access the Speak Out hotline?

You can access the Smiths Speak Out hotline **online, by phone, or by email.**

The Speak Out hotline allows you to raise concerns confidentially and in your own language. Speak Out reports are stored within an independent third-party software system, reviewed and managed by the Smiths Group Ethics & Compliance team (E&C). The Speak Out hotline is available 24/7, 365 days a year.

There are 3 ways to submit a report:

ONLINE



To file a concern online, visit the Speak Out website at [<http://speakout.smiths.com>](http://speakout.smiths.com). Here you can complete a form to submit your concern. You can also find a link on your Divisional intranet home page or on the Smiths Now App, in the main menu.

PHONE



To raise your concern by phone, dial the Speak Out phone number corresponding to your country. Phone numbers can be found here: [<http://speakout.smiths.com>](http://speakout.smiths.com)

EMAIL



You can report suspected misconduct to the Ethics & Compliance office by confidential e-mail at <speakout@smiths.com>. You can also contact one of the Ethics & Compliance team directly.

After you complete your report (online, by phone or email), you will receive a unique code called a 'report key'. You can use this key to call back or access the website (<<http://speakout.smiths.com>>) to check progress on your report. You can see whether the person dealing with your report has feedback for you or questions. If you want, you can provide additional information. Your report key is particularly important if you choose to remain anonymous, as we can only contact you through the website. All reports received via Speak Out are routed back to E&C for further handling.

Who can see my Speak Out report?

Speak Out reports that are made online, by phone or by email as described above are investigated by someone from Smiths Ethics & Compliance team (E&C). When reports are made online or by email, they come directly to E&C. Where they are phoned in to the Speak Out call centre, they are entered by the call centre representative into the Smiths Speak Out system, and E&C is alerted. The person in E&C who manages your report will depend on your location and time zone. When E&C receives the report, it is kept confidential (see below). If you prefer to remain anonymous, see the section 'Can I report to the Speak Out hotline anonymously?' below.

If you prefer that your report is investigated locally (in other words, by someone in the country or at the site in which you are based) that is **not** a problem. You will need to speak to your local manager, HR or Legal representative to initiate the investigation. If you need help arranging for the investigation to be conducted locally you can speak to E&C, again via the Speak Out hotline. Unless there are legal reasons why the conclusions of an investigation cannot be shared outside

the country in which it is conducted, those conclusions will be uploaded into Smiths' ethics management system. All reports in the system are kept strictly confidential.

What kind of information do I need to provide in a Speak Out report?

When you make a report (in person, online, by phone or email), please provide as much detailed information as you can to enable E&C to assess and investigate your concern, such as:

- **Who?** First and last names of individuals involved
- **What?** The background, history, and reasons for the concern
- **Where?** The place or site information
- **When?** The date and time information
- **How?** Any documentation or other relevant information to support the concern

The more information that you can provide, the easier it is for E&C to investigate.

What should I do if I do not have all the facts?

It doesn't matter if you don't have all the facts. Smiths E&C does not expect you to have all the answers or for you to prove your concern. We encourage you to speak out anyway, and as soon as possible. Not speaking out can make a bad situation worse. Whether you know about or suspect misconduct, speak out with the information you have. Allow E&C to investigate the matter to determine if there is a reason for concern.

Never investigate the matter yourself, and do not seek evidence to build a stronger case. We guarantee that no disciplinary measures or other steps will be taken against you for raising a genuine concern if it later turns out to be mistaken or misguided. Nor will the person or people about whom you are reporting in anyway be prejudiced if you have raised a genuine concern which ultimately is not substantiated. That is another important reason why investigations will be kept confidential.

Safeguarding: Confidentiality and Non-Retaliation

Do all reports remain confidential?

Yes, all reports remain confidential. Information about your concern will only be shared with a limited number of people on a strict need-to-know basis, and Smiths' Group Ethics & Compliance team will keep you informed of this. If there is any sensitivity about disclosing the report to a particular person, the Ethics & Compliance team will discuss this with you beforehand. Information will only be disclosed outside this small group if we are required to do so by law or an important

public interest is at stake. As part of the investigation, it may be necessary to inform the implicated person that a complaint has been filed against them, but (unless we are legally required to do so) your identity will not be disclosed. All reasonable steps will be taken to ensure your identity remains confidential.

You can help us protect confidentiality by being discreet and not discussing your report with your colleagues or anyone else (although you are, of course, always free to seek professional advice or support, if you feel you need to).

Can I report to the Speak Out hotline anonymously?

Yes, you may Speak Out and share your concerns anonymously (where allowed by the laws of the country in which you are based). However, our preference is for you to share your identity with the Ethics & Compliance team because it is more difficult, and in some circumstances impossible, for the team to investigate reports that are made anonymously (for example, if the team does not know who to contact for questions and for clarifications).

Will my privacy be safeguarded?

Yes, Smiths is committed to protecting the privacy of everyone involved. We will do everything reasonable to safeguard personal data from unauthorised access and processing. Any personal data obtained as part of Speak Out will only be used for the purposes explained in this Policy or to comply with the law or an important public interest. Please click [here](#) for the Smiths Privacy Statement and [here](#) for the Smiths Employee Privacy Statement for more details about the protection of personal data.

Non-retaliation: How will I be protected after speaking out?

Speaking out is expected, and employees who speak out are protected from retaliation. Please feel confident that you will not suffer for raising concerns in good faith about suspected misconduct. Any form of threat or retaliation will not be tolerated. This includes: threats to your employment status (including dismissal), disciplinary action (including suspension and demotion), retaliation through unfavourable treatment (including being denied training, being excluded from activities and meetings, or receiving poor evaluations), intimidation or harassment connected with raising a concern.

Retaliation is treated as a serious disciplinary matter. If the E&C team considers that there is an elevated risk of retaliation, as a matter of procedure, it will follow up and check-in with a reporting colleague after an investigation has concluded to ensure the employee feels safe in their role and no retaliation has occurred. If you have any concerns about retaliation at any time after making

a Speak Out report, you should immediately contact E&C, a member of the Legal team, or your local Human Resources manager.

What happens if this Policy is misused?

It is a violation of our Code of Business Ethics and Smiths Values to knowingly make a false accusation, lie to investigators, interfere with an investigation or refuse to cooperate in an investigation. Doing so may lead to disciplinary measures.

What about external ‘whistleblowing’?

We strongly encourage you to raise concerns internally through one of the available channels. By speaking out internally, you give us the opportunity to investigate the matter and act if needed. In this way we can truly improve Smiths together. However, if you do wish to report an issue to an external body (for example, the UK’s Serious Fraud Office or Information Commissioner’s Office), their websites provide information on how to make a report. If you are not based in the UK, other external bodies are available for raising concerns, and you can find out details online.

What can I expect after using the Speak Out hotline?

Smiths takes every report of possible misconduct seriously. If you submit a report into the Speak Out hotline, the E&C team will confirm receipt as quickly as possible, but in any event, within 7 days, with an estimate of how long it will take to handle and assess your concern wherever possible. The time it takes to investigate each concern depends on its nature. More complicated reports typically take between 1-3 months. You will be informed of the overall findings (i.e. whether or not we have found misconduct), but not the full details of outcome or actions taken. This is for the confidentiality, privacy and the legal rights of all involved. Whether or not the investigation has concluded, you will be given an update on the steps taken no later than 3 months after making your report.

Who will act on my concerns, and how?

All concerns that are received by Smiths are logged into a secure third-party case management system. Typically, the investigation will be handled by E&C. However, E&C may need to draw on expertise of other functions (for example, HR, HSE, Internal Audit or Finance). No other function will be involved unless and until E&C has first discussed this with you. In certain circumstances (for example, if Smiths does not have an investigator with required language skills, or the investigation requires a particular type of expertise not available in Smiths) E&C may rely on third

parties to investigate (for example, a law firm or an accountancy firm). Again, if this is the case, it will advise you first.

What will the review and investigations process involve?

Smiths follows a two-phased approach when handling concerns:

- **Initial review and inquiries** – Assess the concern and decide if it requires further investigation (and, if so, by whom). You may be approached for additional information.
- **Further review and investigations** – If the report requires further review and investigation, someone in the E&C team, or with consent of the reporter, someone in another function but well placed to conduct the investigation, will be assigned to investigate it. The investigation will focus on an objective, factual analysis. If needed, outside experts (e.g. lawyers or accountants) may be engaged to assist. They will work under strict confidentiality and report to the E&C team. Review and investigation will be conducted in an independent, fair and unbiased manner with respect to all parties involved and in accordance with relevant laws and principles (including fair hearing).

What is expected of me to help in connection with investigations?

If you become involved in an investigation, you must cooperate and answer all questions completely and honestly. All parties involved, including the accused, are entitled to confidentiality to avoid unnecessary damage to their reputation. Confidentiality is also essential to maintain people's trust in Smiths Speak Out system. Therefore, if you participate in or learn about an investigation, you must keep the matter confidential.

Will the outcome and actions taken be shared with me?

If misconduct is found, appropriate measures will be taken in accordance with the law and our Human Resources disciplinary policies.

What should I do if I have a concern about the investigation or follow up?

If you believe that your concern or a concern raised against you has not been handled appropriately, or that an investigation has not been performed correctly, please inform the:

- Smiths Group General Counsel; or
- Smiths Global Director of Human Resources.

The Group General Counsel and the Global Director of Human Resources will review your concern and assess the investigation process and conclusions to determine whether the outcome was appropriate. If this Speak Out report concerns financial impropriety, Smiths Group's Chief Financial Officer will be involved in the assessment.

What should I do if I am the subject of the investigation and I do not agree with its findings?

If you are the subject of an investigation and believe that the investigation has not been handled appropriately, or that the findings are wrong, please inform:

- Smiths Group General Counsel; or
- Smiths Global Director of Human Resources.

The Group General Counsel and the Global Director of Human Resources will review your concern and assess the investigation process and conclusions to determine whether the outcome was appropriate. If the Speak Out report concerns financial impropriety, Smiths Group's Chief Financial Officer will be involved in the assessment.

Further Guidance

If you have questions, doubts or suggestions relating to speaking out, the Speak Out hotline, or if you need other assistance, please contact:

- your manager, Human Resources representative or the Legal team
- the Ethics & Compliance Office by email at «speakout@smiths.com»
- Protect, the independent whistleblowing charity at <www.pcaw.co.uk>, +44 203 117 2520 or <whistle@pcaw.co.uk>

Related Documents

You can find other Smiths Group Policies on the Smiths [intranet](#) or [website](#).

- Code of Business Ethics
- Supplier Code of Conduct
- Human Rights Policy