

## APPENDIX E

### ROLE AND RESPONSIBILITIES

Role	Responsibilities
<b>BOD</b>	<ul style="list-style-type: none"><li>▪ Issue policy and communicating the requirements of the policy;</li><li>▪ Maintain oversight of any major issue arising from the policy and or other enquires into the conduct of this guideline;</li><li>▪ Final decision on the investigation matters.</li></ul> <p><i>(The BOD may delegate some of the above responsibilities to any BOD committees as deemed appropriate).</i></p>
<b>BAC</b>	<ul style="list-style-type: none"><li>▪ Act as a support to the BOD; and</li><li>▪ Provide recommendation of matters to be investigated.</li></ul>
<b>President &amp; CEO</b>	<ul style="list-style-type: none"><li>▪ Monitor implementation of the policy and guideline;</li><li>▪ Review preliminary reports and establish whether there are any grounds for further action;</li><li>▪ For issues that require immediate attention, make decision on the corrective or remedial actions, or (as the case may be) disciplinary actions or to pursue any legal actions, to be taken, when required;</li><li>▪ Initiate investigations when required;</li><li>▪ Review and report to the BAC/BOD the results of the investigations and recommendations for corrective or remedial actions, or (as the case may be) disciplinary actions or to pursue any legal actions, to be taken; and</li><li>▪ Timely submission of Board Executive Summary reports on a quarterly basis to the BAC/BOD.</li></ul>
<b>Head of HCD</b>	<ul style="list-style-type: none"><li>▪ Administer, implement and oversee ongoing compliance with this policy and guideline;</li><li>▪ Assist the President &amp; CEO and/or BAC/BOD, in investigative work, if directed by the President &amp; CEO and/or BAC/BOD;</li><li>▪ Be accessible to persons who wish to discuss any matter raised in or in connection with a report;</li><li>▪ Work with the relevant personnel towards ensuring that all efforts are taken to protect the whistleblower(s) and persons who participate (or who intend to participate) in the investigation arising from a report from reprisal;</li></ul>

**APPENDIX E:**

**ROLE AND RESPONSIBILITIES (cont'd)**

<b>Role</b>	<b>Responsibilities</b>
<b>Head of HCD (cont'd)</b>	<ul style="list-style-type: none"> <li>▪ Ensure that the corrective or remedial actions recommended by the President &amp; CEO and/or BAC/BOD are promptly executed;</li> <li>▪ Ensure that documents in regards with whistleblower complaints and investigation reports are maintained confidential in a safe, secure and proper manner;</li> <li>▪ Timely submission of a quarterly report to the President &amp; CEO stating the number and nature of complaints received the results thereof, follow up action and the unresolved complaints;</li> <li>▪ Review and update on the policy and guideline, where required;</li> <li>▪ Maintain awareness on the latest development and trends of whistleblowing policy and guidelines; and</li> <li>▪ Provide continuous education process.</li> </ul>
<b>Whistleblowing Hotline Consultant</b>	<ul style="list-style-type: none"> <li>▪ Managing the telephone hotline based on the prescribed hours;</li> <li>▪ Promptly receive, record (if the disclosure is made orally), and refer to the SVP, Head, HCD, a report and any matter arising there from or in connection therewith;</li> <li>▪ Ensure that documents related to reports are retained in a safe, secure and proper manner;</li> <li>▪ Attend, in confidence, to inquiries about this policy and provide informal advice to persons who are considering making a disclosure under this policy; and</li> <li>▪ Timely submission of monthly and quarterly whistleblowing report on the activities of the whistleblowing hotline.</li> </ul>
<b>Whistleblower</b>	<ul style="list-style-type: none"> <li>▪ Make a report orally or in writing and submit it to the Whistleblowing Hotline Consultant or SVP, Head, HCD, if necessary;</li> <li>▪ To assist in the information/evidence gathering stage;</li> <li>▪ To assist in the investigation/domestic inquiry stage if required; and</li> <li>▪ To appear as a witness if required.</li> </ul>