



# Whistleblowing Policy

Department                      Human Resources

Version History

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## What is whistleblowing?

**Whistleblowing** is the reporting of suspected wrongdoing or dangers in relation to JCB's activities. This may include:

- criminal activity;
- failure to comply with any legal obligation;
- breaches of legislation, such as product safety, competition or data protection laws;
- danger to health and safety;
- damage to the environment;
- fraud, bribery or financial mismanagement;
- unauthorised disclosure of confidential information; or
- the deliberate concealment of any of the above matters.

A **whistleblower** is a person who raises a genuine concern relating to any of the above. If you have any genuine concerns related to suspected wrongdoing or danger affecting any of JCB's activities (a whistleblowing concern) you should report it under this policy.

### About this Policy

JCB is committed to conducting our business with honesty and integrity and we expect all personnel to maintain high standards of conduct. 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 essential in order to prevent such situations occurring and to address them 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 and investigated as appropriate, and that their confidentiality will be respected;
- to provide staff with guidance as to how to raise those concerns; and
- to reassure staff that they should be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken.

This policy covers all employees, workers, agency workers, directors, officers, consultants, contractors, apprentices and graduates engaged in any of JCB's businesses (collectively known as **personnel** in this policy).

This policy is not to be used to raise individual grievances relating to personal circumstances within the workplace or collective grievances. If such circumstances occur please refer to the JCB Discipline and Grievance Policy for this.

This policy does not form part of any employee's contract of employment and we may amend it at any time.

## Raising a Whistleblowing Concern

JCB hope that in many cases you will be able to raise any concerns with your line manager. You may tell them in person or put the matter in writing if you prefer. They may be able to agree a way of resolving your concern quickly and effectively.

However, where the matter is more serious, or you feel that your line manager has not addressed your concern, or you prefer not to raise it with them for any reason, you should contact one of the following:



- JCB's Whistleblowing Champion;
- Group Head of Internal Audit;
- Group General Counsel; or
- Chief Financial Officer.

The contact details for each of these individuals are set out at the end of this policy.

## Confidentiality

JCB hope that personnel will feel able to voice whistleblowing concerns openly under this policy. Completely anonymous disclosures are difficult to investigate. If you want to raise your concern confidentially, we will make every effort to keep your identity secret and only reveal it where necessary to those involved in investigating your concern.

## 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.

The law recognises that in some circumstances it may be appropriate for you to report your concerns to an external body such as a regulator. We strongly encourage you to seek advice before reporting a concern to anyone external. Protect (an independent whistleblowing charity) operates a confidential helpline. Their contact details are at the end of this policy.

## Investigation and Outcome

Once you have raised a whistleblowing concern, we will carry out an initial assessment to determine the scope of any investigation. We will inform you of the outcome of our assessment. You may be required to attend additional meetings in order to provide further information.

In some cases we may appoint an investigator or team of investigators including personnel with relevant experience of investigations or specialist knowledge of the subject matter. The investigator(s) may make recommendations for change to enable us to minimise the risk of future wrongdoing.

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.

## Protection and Support for Whistleblowers

JCB aim to encourage openness and will support whistleblowers who raise genuine concerns under this policy, even if they turn out to be mistaken.

Whistleblowers must not suffer any detrimental treatment as a result of raising a genuine concern. If you believe that you have suffered any such treatment, you should inform your HR Manager immediately. If the matter is not remedied you should raise it formally using the JCB Discipline and Grievance Policy.

You must not threaten or retaliate against whistleblowers in any way. If you are involved in such conduct you may be subject to disciplinary action.

However, if we conclude that a whistleblower has made false allegations maliciously, the whistleblower may be subject to disciplinary action.



## Corrective Action

Following any investigation made under this policy, recommendations for change will be invited from the investigative team to enable us to minimise the risk of the malpractice or impropriety uncovered from happening again.

## If you are not satisfied

While JCB 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 one of the other key whistleblowing contacts referenced below.

## Whistleblowing Contact

HR Manager	Asia Cartlidge 07393 751721 <a href="mailto:Asia.Cartlidge@jcb.com">Asia.Cartlidge@jcb.com</a>
Group Head of Internal Audit	Mark Richards 01889593492 <a href="mailto:mark.richards@jcb.com">mark.richards@jcb.com</a>
Group General Counsel	Adrian Ross 01889594018 <a href="mailto:adrian.ross@jcb.com">adrian.ross@jcb.com</a>
Chief Financial Officer	Robert Winter 01889594186 <a href="mailto:robert.winter@jcb.com">robert.winter@jcb.com</a>
Protect (Independent whistleblowing charity)	Helpline: 0203 117 2520 Website: <a href="http://www.Protect-advice.org.uk">www.Protect-advice.org.uk</a>
Legal Secure Notification	<a href="mailto:legal.securennotification@jcb.com">legal.securennotification@jcb.com</a>

