



## WHISTLEBLOWING POLICY

THE SHELTERSOL GROUP WANTS YOU TO BE CONFIDENT THAT YOUR CONCERNS WILL BE TAKEN SERIOUSLY AND THAT YOU WILL BE PROTECTED FROM VICTIMISATION OR BULLYING OR HARRASSMENT IF YOU RAISE A CONCERN

If you have a concern about the ShelterSol Holdings group's services, please read this policy. Any of your concern will be attended to and we give confidential advice about any concern you may have regarding the company and its services.

If you want to informally /confidentially discuss this policy or your concerns you can contact any of the following:

Audit Committee Chairperson on the following lines +263 24 2446962/3 or email [audit@sheltersol.co.zw](mailto:audit@sheltersol.co.zw)

Or Mr. Patison Sithole, The Board Chairman on 0772423769 or email [patisonsithole@gmail.com](mailto:patisonsithole@gmail.com).

Or Mr. Ticharwa Kagu, The Group Chief Executive Officer on 0775583710 or email [arielticharwa@yahoo.com](mailto:arielticharwa@yahoo.com).

Approved by the Board on 3 September 2018

A handwritten signature in black ink, appearing to read 'Patison Sithole'.

**Patison Sithole**  
**Board Chairman**

A handwritten signature in black ink, appearing to read 'Ticharwa Kagu'.

**Ticharwa Kagu**  
**Group Chief Executive Officer**

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Date of Issue September 2018

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## 1. INTRODUCTION

- a. This policy seeks to provide a process that gives anyone with a concern about the ShelterSol Group the confidence to bring that concern to our attention.
- b. The ShelterSol Group operates within legal requirements and regulations and expects its employees to co-operate in this by adhering to all laws, regulations, policies and procedures. Any employee becoming aware of inappropriate conduct is obliged and encouraged to report this activity. This policy also applies to contractors, consultants, partners and agency staff and other stakeholders including ShelterSol's Board members.
- c. Employees are often the first to realize that there may be something seriously wrong within the company. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to the company. Board members, customers and stakeholders are also in a position to identify concerns that affect company services and need to be addressed.
- d. Individuals with a concern may fear that they will be victimized or harassed if they raise the concern. In these circumstances it may feel easier to ignore the concern rather than report what may be a suspicion of malpractice.
- e. The company is committed to the highest possible standards of openness, probity and accountability. In line with that commitment **the Company encourages employees, customers, contractors, employees of subsidiaries, stakeholders or** Any other person with serious concerns about any aspect of the company's work to come forward and voice those concerns. This process is commonly referred to as "whistleblowing".
- f. It is recognized that certain cases will have to proceed on a confidential basis within the country's legal prescriptions, and this policy seeks to provide a transparent method for dealing with concerns. Whistleblowers can have confidence through this policy that they have the fullest protections as afforded by the relevant Zimbabwean laws.
- g. Specifically the code of practice set out in this policy makes it clear that staff and others can make reports without fear of reprisals and sets out what protections are in place under this policy. This Code is intended to encourage and enable concerns to be raised within the company so that they can be addressed, rather than overlooking problems or raising them outside the company.
- h. All Board members, Employees and partners have a responsibility to protect the company's interests through the proper adherence to this policy.

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## 2. AIMS AND SCOPE OF THIS POLICY

- 2.1 This code of practice aims to:
- a. Encourage and enable any person to feel confident in raising serious concerns and to question and act upon concerns,
  - b. Provide avenues for any person to raise concerns and receive feedback on any action taken,
  - c. Ensure everyone making a referral receives a response to their concerns,
  - d. Describe how to take the matter further if dissatisfied with the company's response,
  - e. Reassure anyone making a referral that they will be protected from reprisals or victimization
- 2.2 For the avoidance of doubt if you have concerns that any person may be being mistreated / abused you can discuss your concerns in confidence with any or all of those listed on the front cover of this policy.
- 2.3 There are existing procedures in place to enable staff to lodge a grievance relating to their own employment, customers to complain about the service they receive and regarding concerns whether the company has breached their code of conduct.
- 2.4 This policy should not be used for such concerns; however, advice can be obtained from the contacts on the front cover of this policy if you have any doubts.
- 2.5 The Whistleblowing Policy is intended to cover concerns that fall outside the scope of the above procedures. A concern may be about:
- a. Conduct which is an offence or a breach of law,
  - b. Disclosures related to miscarriages of justice,
  - c. Health and safety risks, including risks to the public as well as employees,
  - d. Any abuse of employees, clients or any other individuals,
  - e. Damage to the environment,
  - f. Unauthorized use of company funds, and or assets,
  - g. Action that is contrary to the company's financial procedures or contract regulations,
  - h. Possible fraud, corruption or financial irregularity,
  - i. Action that is against the company's policies,
  - j. Practice that falls below established standards or practice,
  - k. Any other improper or unethical conduct,
- 2.6 The concern may be something that makes a person feel uncomfortable in terms of known standards, their experience or the standards to which they believe the company subscribes to. **If in doubt please contact any of the named contact on the front cover of this policy to have a confidential discussion.**
- 2.7 For the avoidance of doubt this policy applies to all Employees, Contractors, consultants and agency staff and other stakeholders who are acting on behalf of, or in partnership with, the company.

### **3. HOW TO RAISE A CONCERN**

- 3.1 When an individual wishes to raise a concern, he or she will need to identify the issues carefully. They must be clear about the standards against which they are judging practice. Whilst not exhaustive they should consider the following:
- a. Is it illegal?
  - b. Does it contravene professional codes of practice?
  - c. Is it against government guidelines?
  - d. Is it against the company's guidelines?
  - e. Is it about one individual's behavior or is it about general working practices?
  - f. Does it contradict what the employee has been taught?
  - g. Has the individual witnessed the incident?
  - h. Did anyone else witness the incident at the same time?
- 3.2 Concerns from staff should normally be raised with their immediate manager, in the first instance. Similarly, non-employees (e.g. agency workers or contractors) should raise a concern in the first instance with their contact within the company, usually the person to whom they directly report.
- 3.3 In some cases, the nature or sensitivity of the concern means that this may not always be appropriate. If a person feels they cannot raise their concern with their immediate manager they are able to go directly to the Group Chief Executive Officer or any of the persons listed on the front page of this policy. They may also do so if, having raised a concern with the immediate manager/contact, they feel there has not been an appropriate response.
- 3.4 Others wishing to raise a concern should consider whether to raise that concern directly with the relevant senior officer of the service involved or use the company's existing complaints process.
- 3.5 Given the possible contractual issues Annex A of this policy gives specific guidance to contractors and partners of the company in raising such concerns.
- 3.6 Concerns may be raised verbally or in writing. Anyone who wishes to make a written report should give the background and history of the concern (giving relevant dates if possible) and the reason why they are particularly concerned about the situation.
- 3.7 If the individual wishes, they may ask for a private meeting with the person to whom they wish to make the complaint and can be accompanied if they wish. An employee may invite their trade union or professional association representative or work colleague to be present during any meetings or interviews in connection with the concerns they have raised.
- 3.8 When making a complaint verbally, the individual should write down any relevant information and date it. They should keep copies of all correspondence and relevant information.

- 3.9 It should be noted that often the earlier a concern is expressed the easier it is to take appropriate action.
- 3.10 The individual should ask the person to whom they are making the complaint what the next steps will be and if anything more is expected from them.
- 3.11 Although a person is not expected to prove the truth of an allegation that is made, it will be necessary to demonstrate that there are sufficient grounds for concern. It is not necessary for any person to undertake investigations into their concern prior to contacting the company as this may undermine any ultimate action needing to be taken.
- 3.12 Advice and guidance on how specific matters of concern may be pursued can be obtained from the company's Group Chief Executive Officer or chairperson of the Audit Committee or any of the contacts given on the front page of this policy. Alternatively staff may wish to get confidential advice from their trade union or professional association.
- 3.13 Staff may wish to consider discussing their concerns with a colleague first and may find it easier to raise the matter if there are two (or more) of them who have had the same experience or concerns.
- 3.14 Where a person feels that they cannot approach anyone in the company, they may wish to report their concerns through the company's External Auditors and or Lawyers

#### **4. SUPPORTING THE INDIVIDUAL TO RAISE A CONCERN**

##### **4.1 Harassment or Victimization**

- 4.1.1 ShelterSol recognizes that the decision to raise a concern can be difficult, not least because of the fear of reprisals.
- 4.1.2 The Company will not tolerate harassment or victimization and will take action to protect individuals who raise concerns. This does not mean that if the individual is already the subject of disciplinary or redundancy procedures, that those procedures will be halted as a result of raising a concern under this policy.
- 4.1.3 It is the clear instruction to those officers (through this formal policy) of the company who liaise with whistleblowers that they shall not release information to identify a whistleblower to any person within the company and will only release those details to a proper person outside the company when there is a legal requirement to do so, eg a court order. The only exception to this shall be where the whistleblower themselves gives written permission to do so.

4.1.4 Any person applying pressure upon such officers to identify whistleblowers shall be subject to the same provisions as outlined in 4.1.6 below.

4.1.5 Where a whistleblower alleges they are / have been victimized / harassed as a result of raising a concern that matter shall be reported to the Group Chief Executive Officer or The Board Chairman. Such allegations shall be investigated as shall be directed. Where the investigations may identify (either indirectly or directly) the whistleblower the way forward shall be agreed with the whistleblower and any resultant action confidentially reported to the Chair of the Audit Committee, the Chief Executive or the Board Chairman shall be informed and consulted.

4.1.6 Each case will be considered on its merits. Anyone found to have victimized or harassed someone who has made a referral under this policy would normally be considered :

- a. A matter of Gross Misconduct if done by an employee of the company
- b. A matter for the company to consider termination of a contract if done by or at the request of a contractor. If there are concerns that a contractor is victimizing, or has victimized a whistleblower, an independent review may be requested.
- c. A matter that would be referred to the Disciplinary Committee.
- d. A matter that could affect the service provided to a customer if done by or at the request of that customer

## 4.2 Confidentiality

4.2.1 All concerns will be treated in confidence and every effort will be made not to reveal the identity of the person highlighting the concern if that is the wish of the individual.

4.2.2 Individuals are encouraged to put their name to any allegation. The company will do its best to protect the individual's identity when they do not want their name disclosed. It must be appreciated that the investigation process may reveal the source of the information and a statement by the individual raising the concern may be required as part of the evidence.

## 4.3 Anonymity

Concerns expressed anonymously are much less powerful but will be considered at the discretion of the company. In exercising this discretion, the factors to be taken into account would include :

- a. Seriousness of the issue
- b. Credibility of the concern
- c. Likelihood of being able to obtain the necessary information

## 4.4 Untrue Allegations

4.4.1 Any individual who makes an allegation which is not subsequently confirmed by the investigation, will have no action taken against them and will continue to have protection under this policy from victimization or harassment. The company

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however, strongly discourages the making of untrue allegations.

4.4.2 If, however, an individual makes malicious or vexatious allegations, action may be taken against them.

## **5. HOW THE COMPANY WILL RESPOND**

- 5.1 The action taken by the company will depend on the nature of the concern. Where appropriate, the matters raised may:
- be investigated by management, internal audit, or other appropriate person
  - be referred to the external auditor
  - be referred to the police
  - form the subject of an independent inquiry.
- 5.2 In order to protect individuals and the company, an initial investigation will be carried out to decide whether a full investigation is appropriate and, if so, what form it should take. Concerns or allegations, which fall within the scope of specific procedures will normally be referred for consideration under those procedures.
- 5.3 It should be noted that some concerns may be resolved by agreed action without the need for investigation. Equally some issues may be investigated without the need for initial enquiries. If urgent action were required, this would be taken before any investigation is conducted.
- 5.4 The company will write to the person raising the concern within 7 working days (i.e. initially the individual or representative with whom the report was lodged as set out in this policy.
- acknowledging that the concern has been received,
  - indicating how it proposes to deal with the matter,
  - giving an indication of when a final response or update will be provided
  - telling the person whether any initial enquiries have been made
  - supplying the person with information on staff support mechanisms, and
  - telling the person whether further investigations will take place and, if not, why not.
- 5.5 Every effort will be made to resolve the matters raised as soon as possible, in the interests of the company, the person raising the concern and the person(s) being investigated.
- 5.6 The amount of contact between the officers considering the issues and the person raising the concern will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, further information may be sought from the person raising the concern.
- 5.7 Where any meeting is arranged, staff have the right, if they so wish, to be accompanied by a trade union or professional association representative or a work colleague who is not involved in the area of work to which the concern relates.

- 5.8 The company will take appropriate steps to minimise any difficulties, which a person may experience as a result of raising a concern and provide advice and support should they be required to give evidence, e.g. at a disciplinary hearing.
- 5.9 The company accepts that the person raising a concern needs to be assured that the matter has been properly addressed. Thus, subject to legal constraints, the person raising the concern will be kept informed as the investigation progresses unless they have requested otherwise. At the very least they should receive an update on the investigation by the date implied by the estimated response time given in section 5.4

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

- 6.1 This policy is intended to provide an avenue to raise concerns within the ShelterSol Group. The Company hopes that those using this process will be satisfied with the way their concerns are treated and any investigations that may be carried out. However, if they are not satisfied and feel it right to take the matter outside the Company, the matter can be raised with relevant professional bodies or regulatory organisations
- 6.2 In taking advice from sources outside the company, a person must ensure that, so far as possible, it is raised without confidential information being divulged and would, other than in exceptional circumstances, be expected to have exhausted the internal routes available first.
- 6.3 Any individual has the right and responsibility to refer a concern to the Police if they suspect a criminal act.

## **7. ROLES AND RESPONSIBILITIES**

- 7.1 The responsibility for the operation of this policy rests with the Company Directors to ensure all staff are fully aware of its provisions. The Chairperson of the Audit Committee must be advised of all referrals in a form, which does not endanger Confidentiality.
- 7.2 Investigations should be undertaken by appropriate officers with expertise and will be dependant upon the issue raised. Human Resources department and the Group Chief Executive Officer and or the Board Chairman will ensure that investigations are swift and effective and undertaken by someone with relevant skills and experience. The Human Resources (HR) department will maintain records of all referrals and subsequent investigations received by the Company.
- 7.3 Internal Audit or an Appointed Auditor will lead on all financial referrals, including those where there are significant financial implications to an allegation, whilst not explicit within the referrals. The Audit team will ensure that concerns raised through the informal process are logged and trends identified.
- 7.4 The Group Chief Executive Officer or Human Resources will lead on allegations

regarding serious misconduct of company employees. The HR team will advise and support employees involved in the investigation process to ensure that such processes are fair and supportive to all those involved.

- 7.5 The Board Chairman, the Group Chief Executive Officer and or an appointed external investigator will lead on allegations regarding misconduct of Board Members depending on the nature and magnitude of the concern so raised.
- 7.6 Employees: In all contracts of employment there is an implied understanding of mutual trust and confidence between the employer and employee. All employees, therefore, have a responsibility to raise concerns about work and they may do so in the manner described in this policy.
- 7.7 Line managers: Must create an open and fair culture within their area of responsibility and ensure that staff concerns are listened to and action taken where necessary. Line managers are responsible for ensuring that there is a safe environment for staff to raise their concerns and that there is no retribution as a result of someone raising their concerns.
- 7.8 Audit Committee: is responsible for assuring the Company that the risks across the Board are being identified and managed. It is therefore responsible for ensuring that this policy is robust in identifying concerns and that the identified risks are addressed. It is also responsible for ensuring that the principles within this policy are upheld.

## **8. HOW THE POLICY WILL BE MONITORED**

- 8.1 The Company has a responsibility for registering the nature of all concerns raised and to record the outcomes.
- 8.2 The Company will produce an annual report, which will identify any patterns of concern and assess the effectiveness of the policy.
- 8.3 This policy will be publicized on the company's Website and specifically and every employee within the group is mandated to know the policy.
- 8.4 All newly elected Board members should be provided a copy of the policy.
- 8.5 A public leaflet will be produced and placed in the Company's public areas to promote the policy and invite feedback.
- 8.6 An annual survey will be undertaken to gauge the awareness of the policy and individual whistleblowers will be asked more detailed questions about their perceptions of the policy in practice.

## **9. REVIEW**

This procedure will be kept under review and any amendments will be subject to consultation with the Board and staff representatives. It will be reviewed by the company's Audit and Committees on an annual basis.

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## ANNEX A

### Procedure for Contractors / Partners, including employees of subsidiaries

1. As a first step contractors should normally raise concerns with their manager, who will then inform the lead Company officer who is dealing with that particular contract. If contractors do not have a manager, they should raise their concerns direct with the lead Company officer. This depends on the seriousness and sensitivity of the issues involved and who is suspected of the malpractice. For example, if contractors believe that their manager or lead Company officer is involved, they should approach the Group Chief Executive and or the Board Chairman. On receiving notification of concerns the lead company officer will inform the Audit and or Legal Services Committee that a confidential report has been received and provide a copy. If the concern relates to financial irregularities or failures of financial controls the lead Company officer receiving the report will also immediately notify the Head of Internal Audit, or the Group Chief Executive Officer and or the Audit Chairperson.
2. Concerns may be raised verbally or in writing. Individuals who wish to make a written report are invited to use the following format:  
**The background and history of the concern (giving relevant dates if possible);**  
**The reason why the individual is particularly concerned about the situation.**
3. It should be noted that often the earlier a concern is expressed, the easier it is to take appropriate action.
4. Advice and guidance on how specific matters of concern may be pursued can be obtained internally from the Audit and or Legal Services Committee. Alternatively contractors may wish to get confidential advice from their trade union or professional association.
5. Contractors may wish to consider discussing their concerns with a colleague first and may find it easier to raise the matter if there are two (or more) of you who have had the same experience or concerns.
6. Contractors may invite their trade union or professional association representative or work colleague to be present during any meetings or interviews in connection with the concerns they have raised.

**General Survey**  
**ANNEX B**

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- . (1) Have you thought about using the Whistleblowing Policy in the last 12 months?
  - . (2) If yes, but you didn't make a referral, what prevented you?
  - . (3) On a scale of 1-10 (with 10 being perfect) how would you rate the policy in meeting the needs of someone who has concerns about the Company services?
  - . (4) If you answered less than 10, what can we do to change so that we would score 10?

**Specific Survey for those who have raised a concern**

- . (1) On a scale of 1-10 (with 10 being perfect) how good do you feel the Company's Whistleblowing arrangements are?
- . (2) If you answered less than 10, what can we do to improve so that we would have scored a 10?
- . (3) Were you able to obtain sufficient advice before making your referral?
- . (4) Did you use normal management structures or the corporate officers?
- . (5) Were your concerns properly addressed?
- . (6) Were the implications of a referral (e.g. confidentiality and timescales) explained to you?
- . (7) Were you provided with regular feedback (if you wanted it)?
- . (8) If you asked for confidentiality was that effectively provided?
- . (9) Do you feel you suffered harassment, victimization or any other negative consequence from raising your concern?