

GC Whistleblowing Procedure

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1. Framework of Reference

The Italian Legislator passed Legislative Decree 24/2023 (the so-called "Whistleblowing Law") which defined, inter alia:

- The aspects of protection of the person who makes a report (whistleblower), as identified in Article 3 of the Whistleblowing Law;
- The obligations of entities and companies in terms of prohibition of retaliatory acts and non-discrimination of whistleblowers and protection of their confidentiality;
- The need for the presence of one or more channels (IT modalities) that enable whistleblowers to submit reports, by guaranteeing the confidentiality of the identity of the whistleblower, of the person involved and of the person mentioned in the report, as well as the content of the report and the related documentation;
- The need to consult the unions representatives referred to in Article 51 of Legislative Decree No. 81 of 2015 before activating the aforementioned reporting channel;
- The conditions for making an external report;
- The prohibition of retaliatory or discriminatory acts against the whistleblower for reasons related to the report;
- The need to provide in the disciplinary system adopted pursuant to Article 6, paragraph 2, letter e), of Decree No. 231 of 2001 sanctions against those who are found to be responsible for the offences referred to in paragraph 1 of Article 21 of the Whistleblowing Law.

2. Introduction to Whistleblowing

"Whistleblowing" is the report made by a person who, in the performance of her or his duties, becomes aware of an offence, risk or dangerous situation that may cause harm to the company/entity for which she or he works, as well as to customers, colleagues, citizens, and any other category of subjects.

The Global Campus of Human Rights ETS Association (hereinafter Global Campus or GC), being sensitive to ethical issues and proper conduct of its business, implements internal systems of reporting violations: these enable individuals identified by law to report violations of national or European Union regulatory provisions that harm the public interest or the integrity of the public administration or private entity, of which they have become aware in a public or private work context, including violations of the Code of Ethics or the broader Organization, Management and Control Model pursuant to Legislative Decree 231/01 (hereinafter the Model).

The Whistleblowing Law identifies:

- The individuals who can trigger a report;
- The acts or facts that can be reported, as well as the requirements that reports must include in order to be taken into consideration;
- The methods through which alleged violations can be reported and the parties responsible for receiving reports;
- The process of inquiry and possibly investigation at the time a report is made;
- The guarantee of confidentiality and protection of the personal data of the whistleblower and any named person(s) and the data contained in the report;
- The prohibition of retaliation and the prohibition of discrimination against the whistleblower.

3. Purpose

The purpose of this document is to represent the operating procedures for handling whistleblowing and any subsequent investigations, which come to the attention of the Whistleblowing Officer by reason of the functions performed.

However, the scope of the procedure does not include those cases excluded from the Whistleblowing Law, including:

- (a) disputes, claims or requests related to a personal interest of the whistleblower or the person who made a complaint to the judicial or accounting authority that pertain exclusively to their individual labour or public employment relationships, or inherent to their labour or public employment relationships with hierarchically superior figures;
- (b) reports of violations which are already mandatorily regulated by European Union or national acts or by national acts that constitute implementation of European Union acts;
- (c) reports of violations relating to national security, as well as procurement relating to defence or national security aspects, unless such aspects are covered by relevant secondary legislation of the European Union.

4. Objectives

The purpose of this document is to bring to light episodes of unlawfulness or irregularities within the Global Campus, clarifying and facilitating the reporting by the whistleblower and removing any factors that may hinder or discourage recourse to this procedure.

The objective of the procedure is therefore, on the one hand, to provide the whistleblower with clear operational indications about the subject, contents, recipients and method of transmission of reports and, on the other hand, to inform her or him about the forms of protection and confidentiality that are recognized and guaranteed.

Finally, the procedure seeks to ensure that the values of the Global Campus are shared, respected and integrated in the working life of its interlocutors.

5. Bodies and Individuals Involved

The bodies and individuals involved in the activities under this procedure are:

- The Whistleblowing Officer appointed in the person of the Surveillance Body of the Global Campus and established pursuant to Legislative Decree 231/01;
- The employees and collaborators of the Global Campus;
- The members of the GC Council;
- The Supervisory Bodies of the Global Campus;
- The suppliers working with the Global Campus;
- All recipients of the Model who may make reports of unlawful conduct, relevant under Decree 231/2001 and based on precise and concordant elements of fact, or of violations of the organization and management model of the Global Campus, of which they have become aware by reason of the functions performed.

6. Procedures and Related Documents

- Organization, Management and Control Model pursuant to Legislative Decree No. 231 of June 8, 2001
- GC Code of Ethics

7. Description of the Procedure

a. Reporting Subject and Requirements

The Model identifies the procedures for transmitting to the Whistleblowing Officer/Surveillance Body reports concerning conduct that may constitute the possible commission of offences relevant under Decree 231/2001 or otherwise violations of the Model.

In order to facilitate reporting, the following channels have been defined:

Through the “My Whistleblowing” add-on to the “My Governance” software (hereinafter the software), as a suitable online reporting channel to ensure the confidentiality of the whistleblower's identity, in compliance with the regulations, the whistleblower can make the report by observing the following transmission method:

1. Access the link <https://areariservata.mygovernance.it/#!/WB/GLOBAL-CAMPUS-OF-HUMAN-RIGHTS>, filling in the form by entering first name, last name and a personal e-mail address (as an employee/collaborator of the GC please do not use the organisational mail account (@gchumanrights.org), as required by the Italian privacy guarantor (“Garante per la Privacy”).
2. Follow the directions received through the e-mail containing the Unique Access Credentials.
3. Log in to your account with your credentials.
4. Proceed by clicking the "CREATE REPORT" button.
5. You will be able, at this point, to proceed with reporting:
 - (a) anonymously using the appropriate option;
 - (b) or, in non-anonymous form, but with the guarantees of confidentiality provided by law.
6. Having established the reporting mode, the whistleblower will proceed by filling out the form. Fields marked with the symbol * are mandatory. Some fields are open and must have a minimum number of characters.

The Global Campus also takes into consideration anonymous reports, where they are adequately circumstantiated and made with sufficient details, that is, they are such as to bring out facts and situations by relating them to specific contexts (e.g., documentary evidence, indication of particular names or qualifications, mention of specific offices, proceedings or particular events, etc.).

The report – including the non-anonymous one – must be circumstantiated and have as high a degree of completeness and comprehensiveness as possible.

The whistleblower is required to provide all available and useful elements to enable the competent parties to carry out the due and appropriate checks and verifications to confirm the substantiation of the reported facts, such as:

- i. A clear and complete description of the allegations that are the subject of the report;
- ii. The circumstances of time and place in which the reported facts were allegedly committed;
- iii. The particulars or other elements that enable identification of the person(s) who is/are alleged to have committed the reported facts (e.g., title, place of employment where he/she carries out the activity);
- iv. Any documents supporting the report;
- v. An indication of any other individuals who may report on the reported facts;
- vi. Any other information that may provide useful feedback about the existence of the reported facts.

For a report to be circumstantiated, these requirements do not necessarily have to be met at the same time, in view of the fact that the whistleblower may not be in full possession of all the information requested.

Through the software, the whistleblower will be guided through each stage of the report and will be asked, in order to best circumstantiate the report, a series of fields that must be filled out compulsorily respecting the requirements.

It is essential that the elements indicated are known directly to the whistleblower and are not reported or referred to by others.

8. Management of Reports

Once the report is received according to the channels provided in this procedure, its management is divided into four stages:

- a. Registration and safekeeping of reports;
- b. Preliminary investigation;
- c. Investigation and communication of the outcome;
- d. Archiving.

a. Registration and Safekeeping of Reports

In case the report is made through the software, the software itself will provide for full and confidential logging (protocol) in accordance with the relevant regulations.

In the case of reports received through other channels and falling within the scope of whistleblowing regulations, the recipient must register the report on the whistleblowing platform within 7 days.

b. Preliminary Investigation

The purpose of the preliminary investigation is to verify the merits of the report received. To this end, the Whistleblowing Officer evaluates the contents by conducting an initial screening and:

- Where he/she immediately detects that the report is clearly unfounded, he/she proceeds to file it immediately;
- Where the report is not well substantiated he/she requests, where possible, additional information from the whistleblower. Where it is not possible to gather sufficient information to substantiate the report and initiate the investigation, it is dismissed;
- In case the report appears to be circumstantiated with precise and concordant factual elements, he/she proceeds with the stages of the investigation.

c. Investigation and Communication of the Outcome

Investigation is the set of activities aimed at verifying the content of the reports received and acquiring elements useful for the subsequent evaluation phase, ensuring maximum confidentiality on the identity of the whistleblower and the subject of the report.

The main purpose of the investigation is to verify the truthfulness of the information submitted for investigation, providing a precise description of the facts ascertained, through audit procedures and objective investigative techniques.

The person in charge of the investigation is the Whistleblowing Officer appointed in the person of the Surveillance Body of the Global Campus.

The Whistleblowing Officer may make use of any external consultants, duly bound to confidentiality, using the expense budget provided.

It is everyone's responsibility to cooperate with the Whistleblowing Officer in charge of the investigation in the conduct of the investigation.

Of each investigation, the Whistleblowing Officer shall prepare a final report containing at least:

- The facts established;
- The evidence gathered;
- The causes and deficiencies that allowed the reported situation to occur.

At the outcome of the investigation, should the Whistleblowing Officer find that the report received is not substantiated, then he/she proceeds to file the report and, where possible, notifies the whistleblower.

If he/she finds the report to be substantiated, the Whistleblowing Officer engages the relevant authorities of the Global Campus (the Secretary General, in exceptional cases the GC Council) to take the due and most appropriate mitigating and/or corrective actions.

Among these actions, in the case of involvement of employees/collaborators, the Whistleblowing Officer transmits the outcome of the investigation to the Secretary General or the GC Council for the initiation of disciplinary proceedings aimed at imposing, where appropriate, disciplinary sanctions in line with the provisions of the applicable legislation and collective bargaining agreements of reference.

d. Archiving

In order to ensure the traceability, confidentiality, preservation and retrievability of data throughout the process, documents are stored and archived both in digital format, through the software, through password-protected network folders, and in paper format, in a special secured cabinet.

All documents will be retained, subject to further legal deadlines in cases expressly provided for, for 5 years from the date of closure of activities.

Pursuant to current law and the GC's privacy procedures, the processing of personal data of persons involved and/or mentioned in the reports is protected.

9. Protection of the Whistleblower

The entire process must ensure the confidentiality of the whistleblower's identity from the time the report is received and at every stage thereafter.

To this end, in accordance with current regulations, the Global Campus has established a series of mechanisms aimed at protecting the non-anonymous whistleblower, providing for:

- a. the protection of the confidentiality of the whistleblower;
- b. the prohibition of discrimination against the whistleblower.

a. Protection of the Confidentiality of the Whistleblower

The use of the software guarantees the complete confidentiality of the whistleblower, as only the Whistleblowing Officer can access the report.

As part of any disciplinary proceedings which might be instituted against the person(s) named by the whistleblower:

- If the established facts were based on investigations separate from and additional to the report, even if following the report, the identity of the whistleblower shall not be disclosed;

- If the established facts were based in whole or in part on the report, the identity of the whistleblower may be disclosed to the person(s) involved by the report if two requirements are met simultaneously:
 - The consent of the whistleblower;
 - The demonstrated need on the part of the named person(s) to know the identity of the whistleblower for the purpose of the full exercise of the right of defence.

b. The prohibition of discrimination against the whistleblower

The whistleblower may not be sanctioned, dismissed or subjected to any discriminatory measures, direct or indirect, affecting working conditions, for reasons directly or indirectly related to the reporting.

Discriminatory measures are defined as unjustified disciplinary actions, harassment in the workplace, any changes in job duties or work location, and any other pejorative change in working conditions that is posed as a form of retaliation against the whistleblower. A whistleblower who believes that he/she has suffered discrimination as a result of making a report must give detailed notice to the Whistleblowing Officer of the Global Campus through the reporting channel regulated by this procedure.

The whistleblower who believes that he/she has suffered discrimination may take legal action against the alleged perpetrator of the discrimination and also against the GC, if the GC itself actively participated in the discrimination. It should be noted that, in such a case, the law provides for a reversal of the burden of proof, and it will, therefore, be the GC that will have to prove that the change in the reporting party's working conditions did not originate from the reporting.

10. Infringement of the Procedure

Misuse of, or failure to comply with this procedure, such as malicious or grossly negligent reports, may lead to the application of the disciplinary system of the Global Campus, in line with the provisions of the applicable regulations and the relevant collective bargaining agreements.

11. Revisions to the Procedure

Date	Person responsible	Brief description of the updates made