

# WHISTLEBLOWING POLICY

## 0. INTRODUCTION

The Company is committed to the highest standards of conduct and has established detailed rules, regulations, quality standards and procedures to ensure that these standards are observed. However, sometimes malpractice and wrongdoing may occur. The Company is not prepared to tolerate any such malpractice or wrongdoing in the performance of its services of sourcing and supplying Conflict-Free Minerals.

The Company acknowledges that the greatest deterrent to malpractice or wrongdoing is the probability that it will be discovered, reported and investigated thoroughly and that those responsible will be held to account. This policy is intended to be a clear and unequivocal statement that whenever any malpractice or wrongdoing by the Company Employees, Contractors or Suppliers is identified, it will be promptly and thoroughly investigated and that the alleged malpractice or wrongdoing will be rectified as necessary. The Company will also investigate means of ensuring that such malpractice or wrongdoing can be prevented for the future.

## 1. THE SCOPE OF THE WHISTLEBLOWING POLICY – THE PRINCIPLES

The Company's Whistle blowing Policy is based upon the overriding principle that the public interest and the needs of service users must come first.

## 2. GRIEVANCE PROCEDURE

This deals with complaints relating to an individual employee's conditions of employment. The Whistleblowing Policy is not intended to replace the Grievance Procedure and should not be used to deal with matters which relate to an individual's contract of



**Kivu Mineral Resources SARL**

Phone no.: +243 897 759 119  
E-mail: office@kivumineral.com

Address: 34/01 of Boulevard  
Karisimbi, Quartier Mapendo,  
Goma Municipality, City of Goma in  
the Democratic Republic of Congo

9

employment. If a concern is raised through the Whistleblowing Policy which would be more properly dealt with through the Grievance Procedure, it will be referred to Head of Human Resources.

### **3. INTERNAL FRAUD**

The Council's Financial Regulations state that it is the responsibility of any employee discovering or having reasonable suspicion of any irregularity, misconduct or fraud immediately to notify the relevant Executive Director. When so informed, the Executive Director shall appraise the circumstances and shall notify and discuss the action to be taken concurrently with the Audit Manager. All information shall be treated in complete confidentiality.

### **4. GENERAL SAFEGUARDS**

#### *4.1. No Victimization*

The Company recognizes that the decision to blow the whistle can be a difficult one to make, not least because there is a fear of reprisal from those who may be perpetrating malpractice. The Council will not tolerate any victimization of a person who raises a concern in good faith and will take appropriate steps to protect them, including where appropriate disciplinary action.

#### *4.2. Confidentiality and Anonymity*

The Company will, wherever possible, protect the identity of the whistleblower who raises a concern and does not want his/her name to be disclosed. However, this may not be possible in all circumstances as the very fact of the investigation may serve to reveal the source of the information and the statement of the whistleblower may be needed as part of evidence against the perpetrator.



**Kivu Mineral Resources SARL**

Phone no.: +243 897 759 119  
E-mail: office@kivumineral.com

Address: 34/01 of Boulevard  
Karisimbi, Quartier Mapendo,  
Goma Municipality, City of Goma in  
the Democratic Republic of Congo



#### 4.3. *False and Vexatious Complaints*

Just as the Company will seek to protect those who raise concerns in good faith, so it will seek to protect those against whom claims are made which turn out to be unfounded. A concern which is made in good faith and sincerely expressed may transpire to have no basis. In addition, it is possible that vexatious or malicious claims may be made. The Company will take disciplinary action against any employee who makes a vexatious claim. In either case, where it turns out that the claim was without foundation, the Company will use its best endeavors to ensure that any negative impact on the person complained of is minimized. However, the Company acknowledges that it may not be able to prevent all such impact in every case.

#### 4.4. *Alternative methods of complaint*

In addition to the initial complaints and whistleblowing procedures set out in this policy, any member of the public who wishes to lodge a complaint against the company may contact the existing warning mechanism within local civil society or where appropriate contact the competent services.

Managing Director



**Mwanza Mwamba Yvette**



**Kivu Mineral  
Resources**

**Kivu Mineral Resources SARI**

Phone no.: +243 897 759 119  
E-mail: office@kivumineral.com

Address: 34/01 of Boulevard  
Karisimbi, Quartier Mapendo,  
Goma Municipality, City of Goma in  
the Democratic Republic of Congo