

## **Policy and Procedures on Disclosure and Handling of Malpractice in the Workplace (Whistleblowing Policy & Procedures)**

### **Policy Statement**

1. Oxfam Hong Kong (OHK) is committed to maintaining good governance, emphasizing accountability and a high degree of transparency which enable our stakeholders to have trust and faith in OHK in the delivery of our mission.
2. In line with this commitment, it is vital that everyone who works for/with OHK upholds OHK's vision and mission, values and codes of conduct, behaves professionally, maintains the highest standards of conduct, integrity and ethics, and complies with applicable law. An employee, volunteer, consultant, partner, contractor, representative, donor or beneficiary (each a stakeholder) of OHK with any genuine concern about malpractice in the OHK workplace is encouraged to communicate these without fear and in the knowledge that he/she will be protected.

### **Protection for Whistleblowers**

3. This Policy aims to provide reporting channels and guidance on reporting genuine concerns about malpractice and reassurance to persons reporting such concerns (Whistleblowers) and investigator(s) of protection from harassment, intimidation, reprisal, retaliation, unfair disciplinary action or victimization (each an unjust treatment) in OHK as a consequence of reporting genuine concerns.
4. OHK will take appropriate action, which may end in dismissal, in accordance with the relevant procedure against any employee, volunteer, consultant, partner, contractor, representative who is found to be harassing or otherwise treating another individual unjustly for or deterring them from reporting genuine concerns about malpractice.

### **Confidentiality**

5. The identity of a Whistleblower will not be disclosed without the Whistleblower's consent unless such disclosure is required by applicable law. However, there may be circumstances in which OHK may be legally obliged or otherwise required to disclose the Whistleblower's identity, for example, where an investigation leads to legal proceedings being initiated. If this is the case, OHK will endeavor to inform the Whistleblower that his or her identity is likely to be disclosed. OHK will also take all reasonable steps to ensure that the Whistleblower will not be subject to any unjust treatment in OHK.

6. Should an investigation lead to a criminal prosecution, it may become necessary for the Whistleblower to provide evidence or be interviewed by relevant authorities.

## **Malpractice**

7. OHK uses this policy to enable stakeholders of OHK to raise genuine concerns about malpractice in the workplace at an early stage and in the right way. It applies in all cases where there are genuine concerns about malpractice in the workplace, regardless of geographic location and whether raising the concern may breach confidentiality.
8. Malpractice refers to a decision or action which would or could bring OHK into serious disrepute or other harm including those listed below:

### **A. Financial and Other Wrongdoing**

- Criminal or civil offences including theft, bribery, fraud, money laundering and aid diversion;
- Falsification of records or non-compliance with policies and procedures for personal gain or gain of others; and
- The deliberate concealment of information relating to any of the matters listed above.

### **B. Safeguarding**

- Misconduct against children, vulnerable adults or beneficiaries such as:
  - a. Sexual harassment – Unwelcome sexual advance, request for sexual favor, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment;
  - b. Sexual exploitation – Actual or attempted abuse of a position of vulnerability, or trust, for sexual purposes, including profiting monetarily, socially or politically from the sexual exploitation of another;
  - c. Sexual abuse – Actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.
  - d. Other issues such as human trafficking, inappropriate conduct (bullying, intimidation, use of inappropriate language), undisclosed material safeguarding incident, undisclosed sex offender, accessing or storing pornography via/in a work device

### **C. Other Internal Reportable Issues**

- Significant non-compliance with OHK codes of conduct or other policies;
- Material abuse of position, power or authority.

9. If the Whistleblower genuinely and reasonably believes that raising the concern is in OHK's best interest, even if it is later discovered that he/she is mistaken, the Whistleblower will not be at risk of unjust treatment by OHK as a direct result of such reporting.

This assurance will not be extended to an individual who raises a concern or makes a statement he/she knows to be untrue or with reckless disregard for the truth or who is engaged in any way in the malpractice. Making false statements knowingly or acting otherwise maliciously will be viewed as a serious disciplinable offence.

### **Reporting Channels and Procedures** (Refer also to Appendices 1 and 2)

10. In general, if a stakeholder has a genuine concern and a reasonable belief that the decision(s) or action(s) of someone who works for/with OHK is or could become or lead to malpractice, he/she can follow the procedures in points 12 to 18.
11. There is a "misconduct webform" managed by the OI's global safeguarding team which allows anonymous reporting. Under the global case management system, any reported case will be referred to the safeguarding lead of the concerned Affiliate.

#### **A. Financial and Other Wrongdoing, Other Internal Reportable Issues**

12. The Whistleblower should raise the concern through any of the following channels that he/she feels comfortable with, with full details and, if possible, supporting evidence:
- His/Her line manager
  - Line manager's supervisor
  - Human Resources Manager (HRM)
  - Whistleblowing Helpline - confidential email account at [whistleblowing@oxfam.org.hk](mailto:whistleblowing@oxfam.org.hk)
  - Internal Auditor (IA)
  - OI's "misconduct webform"

Managers who receive a concern should report it to their supervisors and the **Financial and Other Wrongdoing Team** which consists of the Director of Operations (DoO), Finance Manager (FM), Internal Auditor (IA) and Human Resources Manager (HRM) and is chaired by the DoO, verbally or in writing by email without delay.

The DoO is the administrator of the Whistleblowing Helpline email account (which is also accessible by DG and FM) and will direct concerns reported to the Financial and Other Wrongdoing Team.

#### **B. Safeguarding**

13. The Whistleblower should report any Safeguarding concern immediately through any of the following channels that he/she feels comfortable with, with full details and, if possible, supporting evidence:
- His/Her line manager
  - Any member of the Safeguarding Team – DoO and HRM
  - Safeguarding Team’s email - confidential email account at [safeguarding@oxfam.org.hk](mailto:safeguarding@oxfam.org.hk)
  - OI’s “misconduct webform”

The **Safeguarding Team** consists of the DoO and HRM and is chaired by the DoO.

The HRM is the administrator of the Safeguarding Team email account, which is also accessible by DG and DoO.

14. For A and B above, if any Director (including the DoO) is implicated in the concern in some way, the concern should be raised with the Director General (DG) directly. The DG, if appropriate, would work with the relevant Team, without the knowledge or involvement of the Director concerned to avoid conflicts of interest, to handle the concern.
15. If the concern raised implicates the DG, a Committee Member or a Council Member, the Whistleblower may, at his/her discretion, report directly to the Chairperson of the Council by email to [chair@oxfam.org.hk](mailto:chair@oxfam.org.hk). The Whistleblower may report to the Vice-Chairperson(s) of the Council at [vicechair@oxfam.org.hk](mailto:vicechair@oxfam.org.hk) if the concern implicates the Council Chairperson. The Chairperson of the Council or the Vice-Chairperson(s) of the Council, if appropriate, would work with relevant staff to handle the concern.

Only the Chairperson of the Council and the Vice-Chairperson(s) of the Council respectively have access to these email accounts.

16. If the Whistleblower is not an OHK employee, he/she may report the concern in confidence by email to the Whistleblowing Helpline confidential email account at [whistleblowing@oxfam.org.hk](mailto:whistleblowing@oxfam.org.hk).
17. When first raising a concern, the Whistleblower should share information describing:
- Whether anyone is at immediate risk of physical harm and if so, who?
  - What happened?
  - Who were/are involved?
  - How he/she has come to know about what happened?
  - When he/she first became concerned?
  - Whether he/she has told anyone about what happened and/or the concern?
  - What action has been taken?

A reporting template is set out in Appendix 2.

18. Whistleblowers are advised not make anonymous reports as this may seriously limit the ability of OHK to investigate the concerns as well as the nature, extent and outcome of investigation. Nonetheless, all disclosures, made anonymously or otherwise, will be reviewed.

**Screening** (target response within 1 week of receiving report of concern)

19. The Investigation Panel should consist of the responsible Team (i.e., Financial and Other Wrongdoing Team / Safeguarding Team), relevant supervisor, Director and DG. In the event that any of the Panel members is implicated in the malpractice or violation, he/she shall be refrained from the Panel. The Council Chairperson, Council Vice-Chairperson(s), and/or relevant Committee Chairs, would be invited to the Panel, if appropriate.
20. When a concern is reported in accordance with the procedures described above, the Investigation Panel will evaluate the validity and relevance of the concern. If the Panel decide that an investigation is warranted, they would recommend investigator(s) who have relevant capacity and no conflict of interest for the DG to appoint to investigate the concern. In the event the DG is the subject of the concern, the Council Chairperson will assume the appointment role.

**Investigation** (target time of within 4 weeks of appointment of the investigator(s))

21. Depending upon the nature and particular circumstances of each case, the investigator(s) may discuss with the Whistleblower special measures of protection that should be applied during investigation.
22. Upon completion of the investigation, the investigator(s) will submit a report, without revealing the identity of the Whistleblower, to the Investigation Panel.

**Decision** (within 1 week of receipt of the investigation report)

23. If an employee or some other individual is found in the investigation to have committed a malpractice and/or violation of OHK's vision and mission, values or codes of conduct, the Investigation Panel, will recommend remedy, disciplinary and/or other appropriate actions to the DG (or the Council Chairperson, in the event the DG is implicated in the malpractice or violation) for final decision.
24. The Whistleblower will be notified when the final decision has been made, when reasonably practicable, but the substance of the decision (including any remedy, disciplinary and/or other actions) may be subject to confidentiality and may not be communicated. OHK will require a written acknowledgement on the notification of final decision from the Whistleblower and keep the acknowledgement record, if received, properly. The case will be considered closed if there is no written acknowledgement received from the Whistleblower within one week from the date of notification.

## **Grievance and Appeal** (within 5 days of communication of the decision)

25. An individual who is found to have committed malpractice or violation and an individual who has suffered harm as a result has the right to appeal against the final decision and may file an appeal in writing directly to the Council under the [Grievance Procedures and Grievance Hearing]<sup>1</sup> by email to [chair@oxfam.org.hk](mailto:chair@oxfam.org.hk).

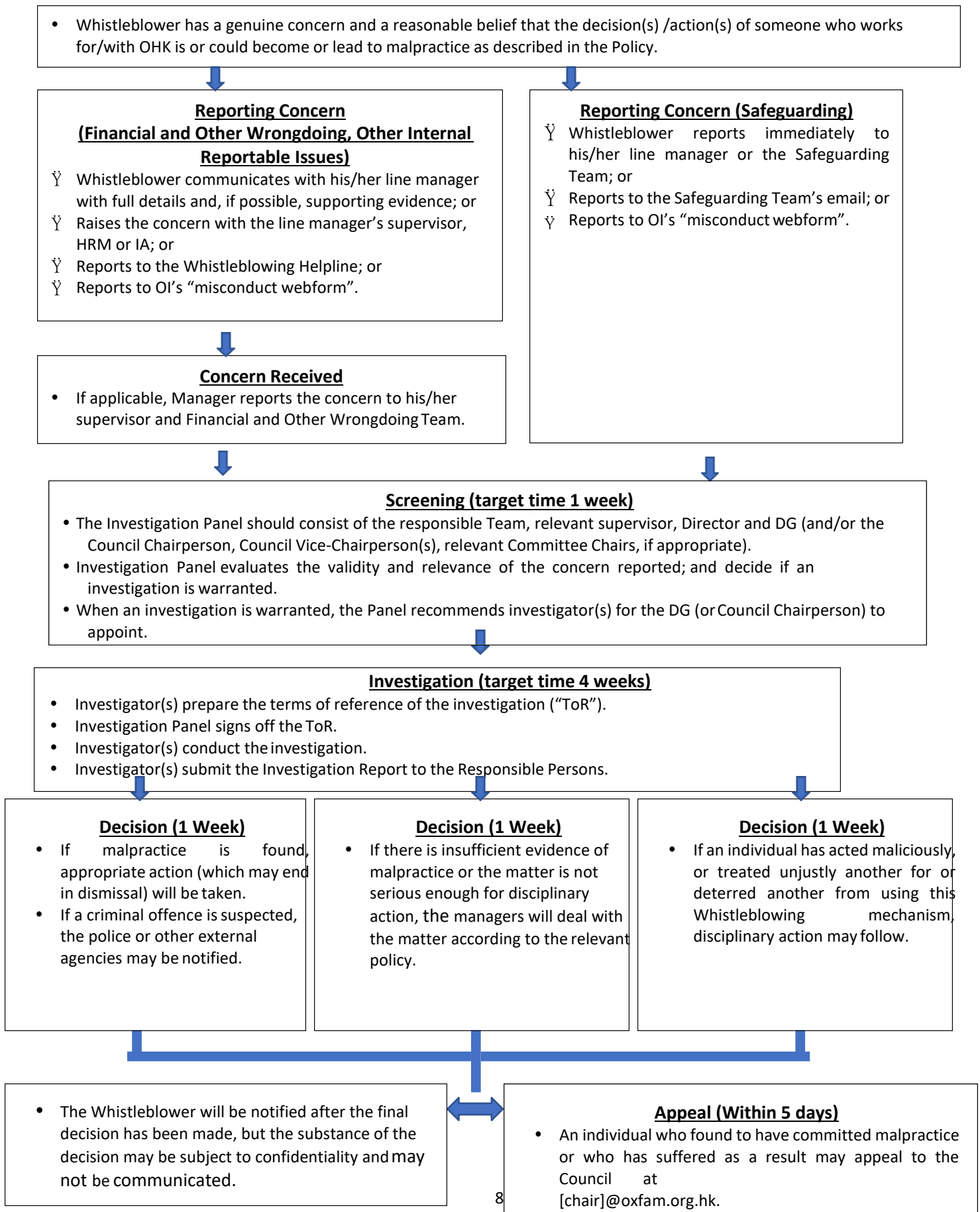
## **Caseload Reporting and Record Retention**

26. The Chairs of the Financial and Other Wrongdoing Team and the Safeguarding Team and the administrator of the Whistleblowing Helpline will submit caseload reports, (without any personal data), whenever there is any update, to the SMT and /or relevant Committees, if appropriate.
27. Records will be kept of all reported concerns, evaluation and decisions whether or not to undertake investigation. In the event a reported concern leads to an investigation, the relevant Team, the HR Team and the investigator(s) will ensure that all relevant information is retained.
28. A separate report would be kept at the Global Case Management System managed by the OI. Only designated personnel in OHK, i.e., DoO and HRM, could access the details.
29. A checklist (Appendix 4) would be filled up by involved parties and signed by approvers, if required, to capture the handling process according to the policy requirements. The Human Resources Manager is responsible for the completion of the checklist.

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<sup>1</sup> Refer to Staff Handbook, Section 1.11.

## Appendix 1: Disclosure and Handling of Malpractice in the Workplace (Whistleblowing) Flow Chart



## Appendix 2: Whistleblowing Report Template

This template has been established to encourage and assist Whistleblowers to raise concerns about malpractice in the OHK workplace through a confidential reporting channel. Oxfam Hong Kong will treat Whistleblower’s concerns in accordance with the Policy.

If you wish to make a report, please use this report template. You may send the report to the person(s)/channel(s) described in the Policy.

Please read the Policy carefully before you fill in this template.

|  |  |
|--|--|
| <b>To:</b> (insert the person/team/channel you would like to report to) <sup>2</sup>   |  |
| <p><b>Your Name, Contact Phone Number and Email</b></p> <p>It is recommended that the report is not made anonymously.</p>  | <p>Name: _____</p> <p>Employee <input type="checkbox"/></p> <p>Other Stakeholder <input type="checkbox"/></p> <p>Tel: _____</p> <p>Email: _____</p> <p>Date: _____</p> |
| <p><b>Details of Your Concern:</b></p> <p>(Please provide full details of your concern, together with any supporting evidence.)</p> <ul style="list-style-type: none"> <li>• Is anyone is at immediate risk of physical harm? If so, identify the individual(s).</li> <br/> <li>• What happened? Please include dates, times, places, people and other key details.</li> <br/> <li>• Who were/are involved?</li> <br/> <li>• How have you come to know about what happened?</li> <br/> <li>• When did you first become concerned?</li> </ul> |  |

<sup>2</sup> If the concerns raised involve the Director General, a Committee Member or a Council Member, you may, at your own discretion, choose to report directly to the Chairperson of the Council by email (at the email address for the Chair set up specifically to take these concerns). You may report to the Vice-Chairperson(s) of the Council if the case involves the Council Chairperson.

- Have you told anyone about what happened and/or the concern?
  
- What action has been taken?

**Personal Information Collection Statement**

*All personal data collected will only be used for purposes which are directly related to the whistleblowing case you reported. Any anonymous reports not supplying such personal data in general will not be acted upon. Therefore, it is strongly recommended that the report should not be made anonymously. The personal data submitted will be held and kept confidential by Oxfam Hong Kong and may be transferred to parties with whom we will contact during our handling of this case, including the party being complained against or other parties concerned. The information provided may also be disclosed to law enforcement authorities or other concerned units. Where relevant, under the Personal Data (Privacy) Ordinance of Hong Kong, you shall have the right to request access to and correction of your personal data. If you wish to exercise these rights, requests should be made in writing to the person or channel you choose to report to.*

### Appendix 3: List of Contact

(Updated in March 2026)

#### 1. Financial and Other Wrongdoing Team

| Member                  | Email Address  | Phone No.       |
|-------------------------|--|-----------------|
| DoO – Esther CHAN       | <a href="mailto:esther.chan@oxfam.org.hk">esther.chan@oxfam.org.hk</a>   | (852) 3120 5203 |
| FM – Carol CHU          | <a href="mailto:carol.chu@oxfam.org.hk">carol.chu@oxfam.org.hk</a>   | (852) 3120 5172 |
| HRM – Wendy LIU         | <a href="mailto:wendy.liu@oxfam.org.hk">wendy.liu@oxfam.org.hk</a>   | (852) 3120 5153 |
| Whistleblowing Helpline | <a href="mailto:whistleblowing@oxfam.org.hk">whistleblowing@oxfam.org.hk</a><br>(email administered by DoO; accessible by DG and FM) | -               |

#### 2. Safeguarding Team

| Member            | Email Address   | Phone No.       |
|-------------------|---|-----------------|
| DoO – Esther CHAN | <a href="mailto:esther.chan@oxfam.org.hk">esther.chan@oxfam.org.hk</a>  | (852) 3120 5203 |
| HRM – Wendy LIU   | <a href="mailto:wendy.liu@oxfam.org.hk">wendy.liu@oxfam.org.hk</a>  | (852) 3120 5153 |
| Safeguarding Team | <a href="mailto:safeguarding@oxfam.org.hk">safeguarding@oxfam.org.hk</a><br>(email administered by HRM, accessible by DG and DoO) | -               |

#### 3. Director General

| Director General                 | Email Address  | Phone No.       |
|----------------------------------|--|-----------------|
| Henry TANG<br>(Director General) | <a href="mailto:henry.tang@oxfam.org.hk">henry.tang@oxfam.org.hk</a> | (852) 3120 5232 |

4. Chairperson - [chair@oxfam.org.hk](mailto:chair@oxfam.org.hk)

5. Vice-Chairperson(s) of the Council - [vicechair@oxfam.org.hk](mailto:vicechair@oxfam.org.hk)

6. OI Misconduct Webform - <https://oxfam.clue-webforms.co.uk/webform/misconduct/en>

### Appendix 4: Checklist of the Handling Process

|                   |  |                                       |   |
|-------------------|--|---------------------------------------|---|
| Concern received: | (Date)   | Whistleblower (if not made anonymous) |   |
| Nature:           | <input type="checkbox"/> Safeguarding<br><input type="checkbox"/> Financial<br><input type="checkbox"/> Other Wrongdoing | Channels:                             | <input type="checkbox"/> Hotline Email<br><input type="checkbox"/> OI misconduct webform<br><input type="checkbox"/> Line Manager<br><input type="checkbox"/> Others: |

| Stage                          | Action to take   | Authorized/ Responsible person  | Approver's signature | Completion Date |
|--------------------------------|--|---|----------------------|-----------------|
| <b>Screening (one week)</b>    | Forming an investigation panel (members are from Financial & other Wrongdoing Team / Safeguarding Team), relevant supervisor/Director and DG/Council Chairperson, if applicable. | DG/Council Chairperson to approve the formation of the investigation panel                |                      |                 |
|                                | Evaluate the validity & relevance of the concern, to recommend investigator(s) to conduct the investigation.   | Panel   |                      |                 |
|                                | Appoint the investigator   | DG  |                      |                 |
| <b>Investigation (4 weeks)</b> | Prepare the terms of reference of the investigation ("ToR").   | Investigator(s)   |                      |                 |
|                                | Sign off the ToR.  | Investigation Panel   |                      |                 |
|                                | Conduct the investigation  | Investigator(s)   |                      |                 |
|                                | Submit the Investigation Report to the Investigation Panel   | Investigator(s)   |                      |                 |
| <b>Decision (one week)</b>     | If malpractice is found, the Panel will recommend remedy, disciplinary/other appropriate actions to the DG/Council Chairperson.  | DG/Council Chairperson to review the recommendation & make decision.                      |                      |                 |
|                                | Notify the Whistleblower when the final decision has been made, if reasonably practicable.   | The Investigation Panel or its delegate to inform the whistleblower of the final decision |                      |                 |
|                                | Require a written acknowledgement on the notification of final decision from the Whistleblower   | The Investigation Panel or its delegate to make the request                               |                      |                 |
| <b>Appeal</b>                  | Subject of the reported concern may file an appeal in writing to the Council Chairperson, within 5 days of communication of the decision.  | Council Chairperson   |                      |                 |
| <b>Caseload Reporting</b>      | Submit caseload report(s) to the SMT/relevant Committees (if applicable)   | Chairs of the Financial & Other Wrongdoing Team/ Safeguarding Team                        |                      |                 |
|                                | Ensure all relevant information is retained.   | Relevant Team, HR & Investigator(s)   |                      |                 |
|                                | A separate report would be kept at the OI Global Case Management System.   | DoO and HRM   |                      |                 |