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Procedures for collecting and processing whistleblower alerts in Ireland

Classification: Public

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Executive Summary

The purpose of the present note about *Procedures for collecting and processing whistleblower alerts in Ireland* is to provide a description of our internal whistleblowing procedure at Allianz Technology Ireland as well as useful information regarding external procedure in Ireland.

In order to collect and process reports submitted by whistleblowers, Allianz Technology Ireland has implemented an internal procedure in accordance with the legal requirements in force in Ireland and provided for in Protected Disclosures (Amendment) Act 2022

Allianz Technology Ireland is committed to developing a culture of integrity which includes the possibility of contributing to the detection of compliance violations, including but not limited to:

- fraud, theft, corruption,
- violations of gift and entertainment policies and procedures,
- antitrust violations,
- financial irregularities or breaches of accounting or tax provisions,
- falsification and/or manipulation of company business and/or financial records,
- any kinds of discrimination or harassment,
- potential conflict of interest.

Reference herein made to "Allianz Technology" refers to Allianz Technology Group and Associates as well as Allianz Technology Business Segment & Allianz Services Business Segment. Allianz Technology Group means Allianz Technology SE, its Branches and Subsidiaries. Allianz Technology SE means Allianz Technology in Germany and Allianz Technology Branches.

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I. What is a whistleblower?

- ☑ Whistleblowing is more formally known as making a 'protected disclosure'. The law protects you if you raise concerns about possible wrongdoing in a workplace you currently or previously worked in. You are also protected if you are dismissed or penalised for reporting possible wrongdoing
 - Internal whistleblowing happens when the employee reports company misconduct to another person within the organization. ...
 - External whistleblowing is the practice of reporting a business' misconduct or corruption to an outside source, such as the police, a legal firm, or the media.

The information must relate to facts that have occurred or are very likely to occur in the entity concerned. It must have been obtained by the whistleblower during his or her professional activities or, otherwise, he or she must have personal knowledge of it.

Personal grievances (for example bullying, harassment or discrimination) are not covered by the whistleblowing law, unless your particular case is in the public interest.

II. Who can be a whistleblower?

According to Irish law, a whistleblower can be one of the following:

The following workers are protected:

- ☑ Employees or former employees
- ☑ Trainees
- ☑ People working under a contract for services
- ☑ Independent contractors
- ☑ Agency workers
- ☑ People on work experience
- ☑ Unpaid trainees
- ☑ Board members
- ☑ Shareholders
- ☑ Volunteers
- ☑ Job applicants

You will also be protected under the Acts if you make an anonymous disclosure but your identity becomes known and you are penalised for having made a protected disclosure.

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III. How to report?

You are not expected to have absolute proof of any illegal or improper activity that you report. You will, however, be asked to give your reasons as to your concerns.

If you make a report, and it is based on a reasonable belief that misconduct has occurred, even if an investigation finds no evidence and no further action is taken, you will not be liable to disciplinary action or recriminations by the company. However any report found to have been made with malicious intent will be investigated further and may result in disciplinary action against the individual making the report.

If you suspect any wrongdoing, you should escalate this to a manager or a member of the HR or Compliance team. Depending on the nature of the concern the manager may be able to resolve this locally. If the issue could put the company's assets or reputation at risk it is the manager's responsibility to escalate this to Compliance for further assessment.

There are two types of reporting procedures. Therefore, a whistleblower can make an "internal" report directly to Allianz Technology or an "external" report to the Directory General (Workplace Relations Commission)


A. Internal reporting process

Various means are available to whistleblowers to submit a report (A), according to certain procedures (B) and processing deadlines provided for by law (D). Procedural guarantees govern the processing of the report (C).

1. Reporting channels


The whistleblower may submit an internal alert to Allianz Technology in writing or orally.

Submitting a report in writing



Via BKMS Whistleblowing tool

- This reporting tool is available ([here](#)) in 16 languages and allows you to submit a report online and, if you wish, to remain anonymous.
- On this tool, you can submit any material, in any form or medium, that supports the report of events that have occurred or are very likely to occur in the entity concerned.
- By using this tool, your report will be received by the Allianz Technology Group Compliance Function, based in Germany, which will then transfer it without delay to the relevant Allianz Technology Compliance Function at local level.
- For more information on the processing of your personal data and your rights, you can consult the Data Privacy Policy of the BKMS Reporting Tool (available at the bottom of this [link](#)).



Via email

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- To Allianz Technology Group Compliance function:
ComplianceInvestigationsAZTandAZS@allianz.com

Or

- To Allianz SE Group Compliance function:
compliance@allianz.com or anti-fraud@allianz.com

Or

- To Allianz Technology Ireland Compliance Officers:
 - Roisin O’Sullivan: roisin.osullivan@allianz.ie
 - Maya Bobulova: maya.bobulova@allianz.com

Or

- The compliance mailbox aztcompliance@allianz.ie

Submitting a report in writing



Via snail mail

- To Allianz Technology Group Compliance function:
Allianz Technology SE
c/o Allianz Technology Compliance
Dieselstraße 8
85774 Unterföhring
Germany

Submitting a report orally



In person to:

- Your Manager
- HR Department
- The Local Compliance Team

Timeframe:

Your report will be:

- Acknowledged within 7 days
- Diligently followed up

You will be:

- Given feedback, within 3 months, on actions taken or planned

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Submitting a report to the Commissioner

To the Office of the Protected Disclosures Commissioners:

- If you want to submit a report to the Office of the Protected Disclosures Commissioner, you must [download the application form \(pdf\)](#) and submit the report by:
 - Email to info@opdc.ie OR
 - Post to Office of the Protected Disclosures Commissioner 6 Earlsfort Terrace, Dublin 2, D02W773
 - Phone at 01 639 5650

2. Reporting terms and conditions

Considerations for all reporting channels

When submitting an alert, please provide as many details as possible to allow its review. However, if you do not have access to detailed information, this should not prevent you from voicing your concerns.

It is useful for our investigations team handling your report if you provide your name and/or an e-mail address when submitting a report. This enables us to contact you in case we have any follow-up questions. If you would prefer to remain anonymous, we will respect your decision and your concern will still be investigated.

Consideration of the report is based only on factual, detailed and objectively formulated data, directly related to the scope of the reporting channel and strictly necessary to verify the reported facts.

Only the following categories of data may be collected:

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- **Initial data:** The facts reported, the identity, function and contact information of the person submitting the report, and the identity, function and contact information of the implicated person.
- **Data related to the processing of the alert:** The elements contributing to the verification of the reported facts, the reports of the verification operations and the follow-up given to the alert.

Additional considerations for anonymous reporting

Should you wish to submit a report anonymously, please use the BKMS Whistleblowing tool (available [here](#)). This will keep you informed of the follow-up of your alert.

The BKMS Whistleblowing tool allows you to communicate anonymously (via a secured mailbox) with the team in charge of processing your alert.

If you prefer not to disclose your identity in your report, you will simply be required to register in the BKMS Whistleblowing tool using any user name you choose, together with a personal code.

The team in charge will have access to the information provided by you and will not be able to know your true identity unless you reveal it to them. If you choose to report anonymously for any reason, please pay attention not to provide any information that could reveal your identity.

Additional considerations for oral reporting

All verbal reports are recorded.

Therefore, during a phone call or in person meeting, your report is collected by establishing, with your consent, accurate minutes.

You can review, amend and approve the minutes by signing them.

The minutes can only be retained for the time strictly necessary and proportionate to the processing of the report and the protection of their authors, the persons they refer to and the third parties they mention.

3. Whistleblowing process and guarantees at Allianz Technology

Allianz Technology examines all submitted messages and ensures that they remain confidential and that all involved parties are treated equally.

Pursuant to Protective disclosure act 2014 and the Protective disclosures amendment act 2022 , the procedure gives an undertaking of the **integrity** and confidentiality of the information collected in a report, in particular the identity of the report author, the implicated person(s) and any third party mentioned in the report.

This internal procedure is intended to enable the reporting of objective facts and not to stigmatize individuals.

Allianz Technology **does not tolerate retaliation in any form**. Therefore, anyone who submits a report in good faith will not face sanctions, even though the facts are later proven to be inaccurate.

Your information will be treated **confidentially**. We take appropriate steps to make careful use of all

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information received, and to safeguard the interests of all involved persons. All data provided is processed according to applicable data privacy requirements.

With respect to the **retention of personal data**:

- The information contained in the reports is archived in a secure manner and the right to be forgotten is observed.
- When a report is not followed by a disciplinary or judicial procedure, the data relating to this report is destroyed if the issue raised does not fall within the scope of this procedure or archived for 2 months, with effect from the closure of the verification operations.
- When a disciplinary or judicial procedure is initiated, the data relating to the report is retained until the end of the procedure.

4. Investigating and reporting processing time

When you submit a report via any of the above means, you will receive a written acknowledgement of receipt within 7 business days of receiving your report.

If you wish to submit a report in person, a physical meeting or video conference will be arranged within 20 business days of receiving your request.

During the procedure, you will be informed in writing within a reasonable timeframe (not exceeding 3 months):

- of the measures considered or taken to assess the accuracy of the allegations and, if applicable, to remedy the subject matter of the report and the reasons for such measures,
- of the reasons why Allianz Technology considers that, where applicable, your report does not comply with the legal requirements and of the follow-up given to such a report.

Finally, you will be informed of the closure of the case.

B. External reporting process

The whistleblower can also submit an external report.

This external report may be submitted either following an internal report or, since 1st January 2023, directly to the Prescribed Persons or the Office of the Protected Disclosures.

- External parties can also report through our official website, or via this compliance button, - [Compliance | Leading IT with you \(allianz.com\)](#)
- To the Prescribed Person:

You may choose to report to one of the prescribed persons listed in Protected Disclosures Act 2014 (Disclosure to Prescribed Persons) Order 2020.

In general, prescribed persons have regulatory functions in the area which are the subject of the allegations. Examples are the Central Bank, The Health and Safety Authority and the Data Protection Commission. You can get a [full list of prescribed persons by sector on gov.ie](#). This list will help you find the right person or body to report to.

- To the Office of the Protected Disclosures Commissioners:

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- If you want to submit a report to the Office of the Protected Disclosures Commissioner, you must [download the application form \(pdf\)](#) and submit the report by:
- Email to info@opdc.ie OR
- Post to Office of the Protected Disclosures Commissioner 6 Earlsfort Terrace, Dublin 2, D02W773
- Phone at 01 639 5650

IV. Legal texts and references

The Protected Disclosures Act 2014 provides for a framework of statutory protections for whistleblowers in Ireland. The Act has been substantially overhauled by the Protected Disclosures (Amendment) Act 2022, which was signed into law in July. The new legislation came into operation on 1 January 2023

- <https://www.irishstatutebook.ie/eli/2014/act/14/enacted/en/html>
- <https://www.irishstatutebook.ie/eli/2022/act/27/enacted/en/html>

[S.I. No. 367/2020 - Protected Disclosures Act 2014 \(Disclosure to Prescribed Persons\) Order 2020](#)

[S.I. No. 389/2019 - Extradition \(Convention on the Prevention and Punishment of Crimes against Internationally Protected Persons, including Diplomatic Agents\) Order 2019](#)

[S.I. No. 490/2016 - Protected Disclosures Act 2014 \(Disclosure to Prescribed Persons\) Order 2016.](#)

[S.I. No. 448/2015 - Protected Disclosures Act 2014 \(Disclosure to Prescribed Persons\) Order 2015.](#)

[S.I. No. 464/2015 - Industrial Relations Act 1990 \(Code of Practice on Protected Disclosures Act 2014\) \(Declaration\) Order 2015.](#)

V. Document information

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| Document | Procedures for collecting and processing whistleblower alerts in Ireland |
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| Area of Application | Allianz Technology Ireland |

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