

1 PURPOSE AND SCOPE

- 1.1 This policy is applicable to all current and future ASI entities, including Assurance Services International GmbH (ASI), ASI North America PB LLC, ASI Asia Pacific Sdn. Bhd. and all their representatives and affiliates, hereafter collectively referred to as 'ASI'.
- 1.2 ASI is committed to high standards of ethical, moral, and legal business conduct, as outlined in its Code of Conduct ([ASI-POL-20-262](#)). In line with this commitment this policy aims to provide an avenue for ASI Personnel and business partners to report suspected or actual wrongdoing and provide reassurance that those that raise concerns will be protected from reprisals, discrimination or victimization for whistleblowing.
- 1.3 The policy applies to any individual wishing to report any suspected or actual wrongdoing of activities of Conformity Assessment Bodies (CABs) and/or Certificate Holders (CHs) as well as activities of ASI Personnel.

2 TERMS AND DEFINITIONS

- 2.1 All terms and definitions, where not defined below, are provided in the ASI Glossary (ASI-INF-20-100).
 - 2.1.1 **ASI Personnel:** individuals working for or representing ASI in any capacity, encompassing but not limited to its staff, contractors (including assessors, technical experts, facilitators, translators, etc.), consultants, members of its Board and committees.
 - 2.1.2 **Whistleblower:** In the context of this Policy, an individual who exposes wrongdoing, by disclosing information about illegal or unethical activities.
 - 2.1.2.1 **External whistleblowing:** whistleblowing made by the business partner, or a person that is not considered ASI Personnel.
 - 2.1.2.2 **Internal whistleblowing:** whistleblowing made by ASI Personnel.

3 POLICY STATEMENT

- 3.1 Any individual with a concern is encouraged to raise their concern and not keep it to themselves or ignore it. Raising concerns with reasonable grounds should be safe and without fear of any retaliation.
- 3.2 Whistleblowers shall act in good faith (honestly and reasonably, even if mistaken) when reporting concerns or information that may represent a violation. The whistleblower shall have reasonable grounds for believing the information disclosed indicates wrongdoing.
- 3.3 ASI encourages and protects whistleblowers who come forward and report concerns, provided that these are made in good faith, and in the reasonable belief that the conduct reported indicates malpractice. The protective measures of the whistleblower include confidentiality, anonymity (where possible) and prohibition of retaliation. Detailed information and conditions regarding the protective measures are outlined in the respective procedures for External and Internal whistleblowing

- 3.4 The reporting of the suspected or actual wrongdoing shall be done at the appropriate level (ASI, the respective certification scheme, CAB, or CH) depending on the subject matter and type of the whistleblowing report.
- 3.4.1 **External whistleblowing** shall follow the ASI Incident Handling Procedure ([ASI-PRO-20-107](#)).
- 3.4.2 **Internal whistleblowing** shall follow the ASI Internal Whistleblowing Procedure ([ASI-PRO-10-262](#)).
- 3.5 The whistleblower shall be informed about the respective process that will be applied, providing contact information is available.
- 3.6 ASI is committed to protecting the privacy of the Whistleblower at every stage of the process and ensuring compliance with the General Data Protection Regulation (GDPR). Please refer to the ASI Data Handling Procedure ([ASI-PRO-10-127](#)) and ASI Privacy Policy ([ASI-POL-20-100](#)) for further information.

4 CHANGE HISTORY

Version number	Date of approval	Description of changes from the last version
1.0	18 May 2010	First publication
1.1	10 April 2024	Format changes to match new branding. No further content changes.
2.0	02 May 2024	Major revision: scope extended to all ASI entities, introduction of distinction between external and internal whistleblowers and consolidation of information on the applicable procedures for whistleblowing; introduction of the data privacy and protection elements.
2.1	27 May 2024	Due to technical problems, hyperlinks to other documents are removed.