



ESSENTRA

Essentra plc

The Right to Speak policy ('Policy') - 2017

Essentra plc, together with its affiliates and subsidiaries (together or individually 'Essentra' or 'the Company'), is committed to doing business the right way, to continually earn the trust of customers, other stakeholders and the wider marketplace. In accordance with the Essentra Ethics Code, the Board of Directors and Group Management Committee expect all employees - and anyone carrying out work on behalf of the Company - to maintain the highest standards of business conduct and personal behaviour at all times, and to act safely, honestly, responsibly, lawfully and with integrity.

In support of this commitment, and consistent with its Six Principles, Essentra seeks to maintain a culture of openness and accountability, so that prompt action can be taken to address any illegal or unethical conduct involving Essentra or anyone working for or on behalf of the Company. Essentra does not tolerate attitudes or activities that amount to a breach of law or trust, or otherwise fall below the highest standards of business conduct and personal behaviour.

This Right to Speak policy is designed to enable any employee to make fair and prompt disclosure of any circumstances where they genuinely and reasonably believe that the high standards expected by the Essentra Ethics Code are not being upheld.

For the purposes of this Policy, the term 'employee' means employees (whether fixed term, permanent or temporary) directors, officers and other individuals working for the Company such as contractors and agency workers.

The aims of this Policy are:

- i. To make employees aware that
 - genuine and reasonable suspicions of illegal or unethical activities, or inappropriate practices, should be reported as soon as possible
 - any concerns will be taken seriously
 - any allegations will be thoroughly investigated and action taken as appropriate
 - confidentiality will be respected
- ii. To provide employees with guidance as to how to raise any concerns
- iii. To support employees and reassure them that
 - they are able to raise genuine and reasonably held concerns in good faith, even if they turn out to be mistaken
 - they will be protected against reprisal and retaliation

The Policy does not form part of any employee's contract of employment and it may be amended at any time.



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What types of activities or practices should an employee disclose under the Essentra Right to Speak policy?

Any information which relates to suspected activities or practices which fall below the highest standards of business conduct and personal behaviour as expected by the Essentra Ethics Code should be disclosed under the Policy. This may include

- criminal activity;
- dangers to health and safety;
- damage to the environment;
- failure to comply with any legal or regulatory requirements;
- financial fraud or mismanagement;
- the deliberate concealment of any of the above matters;
- unethical behaviour

The above list is not exhaustive, and employees should not be discouraged from making any disclosure of concerns that they may have simply because those concerns do not fall within the categories identified.

When should an employee raise any concerns under the Essentra Right to Speak policy?

Employees are encouraged to use their judgement prior to raising any concerns under the Right to Speak policy.

Employees do not need absolute proof of their suspicions, but those suspicions should be genuine and based on a reasonable belief of the relevant circumstances.

Any disclosures should be made in good faith.

Consistent with its Six Principles, Essentra is committed to maintaining a culture of openness, honesty and integrity. Employees should be aware therefore that they may face sanctions if they make a false report in bad faith.

Employees should not use the Right to Speak policy for any issues or complaints relating to their own personal circumstances at work. Employees should follow the Company's Human Resource grievance or other procedures established at their place of work for handling such matters.

How do employees make a disclosure under the Essentra Right to Speak policy?

In the first instance, employees are encouraged to raise any concerns requiring disclosure with their line manager, human resource representative or other management within their immediate working environment. Procedures are established across the Group for the prompt escalation of any issues requiring review by more senior management.

If employees feel that they need to raise the issue outside of their immediate working environment at any time, the Company has put in place, through an independent third party, the 'Essentra Ethics Point Helpline'. This is a confidential call centre manned 24 hours a day by appropriately trained, local language speaking individuals, and the relevant telephone numbers are displayed at each Essentra business location. Alternatively, employees can register with Essentra Ethics Point through their website essentra.ethicspoint.com and file a confidential complaint.



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All complaints received through the Essentra Ethics Point Helpline will be notified to the Senior Review Team established at Essentra plc. The Senior Review Team consists of the Chief Executive, the Company Secretary & General Counsel and the Group Human Resources Director.

A member of the Senior Review Team will confirm receipt of any complaints received within two working days.

The Senior Review Team will determine what steps are to be taken in response to any complaint, and assign responsibility to such internal or external resource as they consider appropriate for the proper investigation of the complaint. The Senior Review Team shall have regard to the Essentra Internal Investigations: Implementation and Policy Manual and the Essentra Investigation Action Plan.

If the Senior Review Team determine that the complaint is an employment related matter which should be handled in accordance with the Company's human resources policies and procedures, then the Senior Review Team may close the case and refer the matter for review and resolution in accordance with such policies and procedures.

A member of the Senior Review Team will provide an update to the Reporter on the initial steps taken by the Company in response to the complaint within five working days of the acknowledgement of the complaint.

The Senior Review Team will ensure that any investigation into any complaint will be completed as quickly as reasonably practicable having regard to the nature of the complaint, with the objective of determining any actions arising from the issues raised no later than 30 working days from the complaint be made through the Essentra Ethics Point or the Helpline.

The Senior Review Team will provide a report to each meeting of the Audit Committee, advising of complaints made under the Essentra Ethics Point or the Helpline and detailing the Company's response to the concerns raised.

How will the Company respond to any disclosures made by an employee?

Essentra will arrange for the proper and appropriate investigation of any disclosures made by any employee under the Policy. Investigations will be conducted promptly and fairly, with due regard to the nature of any allegations and the rights of the individuals subject to the allegations.

Depending on the nature of the allegations, employees' concerns will either be dealt with by internal management or they may be referred to an appropriate external body, such as the police, regulatory bodies or professional firms.

The person appointed to investigate the complaint will be independent, without any direct interest in the subject matter or general engagement with the employee making the disclosures or any individuals subject to any allegations.

Subject to any recommendations from the police, regulatory bodies or the Company's professional advisers, and the rights of the individuals subject to the allegations, the Company will advise the employee responsible for making the disclosure of the findings of the investigation and any actions to be taken as a result.



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If any investigation concludes that an employee has made false allegations in bad faith, that employee's conduct may be sanctioned for failing to uphold Essentra's commitment to openness, honesty and integrity in the workplace.

In the operation of the Policy, the Company will have due and proper regard to applicable Data Protection legislation in order to ensure that the rights of individuals are respected as appropriate.

Confidentiality and Protection from Reprisals

Essentra is committed to ensuring that employees feel able to raise concerns openly in good faith under the Right to Speak policy, without fear of reprisal or retaliation and with the support of the Company.

Where an employee genuinely believes that there is some form of wrongdoing or danger at work and a concern is raised in accordance with the Policy, the Company will take all reasonable steps to ensure the employee does not suffer any disadvantage in the workplace as a result of speaking up about their concerns.

If a concern turns out not to be well founded, provided that it was genuine at the time it was raised and the employee did not commit any misconduct collecting evidence regarding their concern, the Company will take all reasonable steps to ensure there is no disadvantage in the workplace suffered as a result of speaking up, nor will an employee lose their legal protection as a result.

The Company will seek to carry out its investigations in a confidential and sensitive manner, and the number of persons involved and who are aware of the details of the concerns, including the identity of the employee raising the concerns, will be kept to a minimum.

Essentra does not encourage employees to make anonymous disclosures, as the proper investigation of any allegations may be prejudiced and the credibility of those allegations called into question. However, if employees do wish to preserve anonymity and/or confidentiality, then the Company will make every effort to respect that whilst conducting whatever investigation may be appropriate or possible in the circumstances.

Employees should be aware that they may be asked to be a witness, should any disclosures result in a criminal or other regulatory investigation.

It would not normally be appropriate for an employee to discuss concerns about the Company outside the Company or with a third party, unless the procedures detailed in this Policy have first been followed. An employee who disregards this Policy, and makes a disclosure to a third party where it is not appropriate to do so, may be in breach of confidentiality duties owed to the Company (which may lead to the employee being sanctioned), and may lose their statutory protection for raising Right to Speak concerns.

What if an employee is not satisfied with the outcome of any investigation under the Essentra Right to Speak policy



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Essentra is committed to ensuring that any disclosures are thoroughly investigated and appropriate actions taken to address any issues arising from that investigation. The Audit Committee will review at each meeting reports from the Senior Review Team on the nature and extent of the Company's response to complaints raised under the Essentra Ethics Point or the Helpline. If any employee is dissatisfied with the manner in which their concern has been handled, they should write to the Audit Committee Chairman, Essentra plc, 201-249 Avebury Boulevard, Milton Keynes, MK9 1AU, United Kingdom.

The Audit Committee will review the terms of the Right to Speak policy on an annual basis, to ensure it continues to meet its objective to encourage a culture of openness and accountability.