



# Whistle-Blower Investigation Handbook

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Central Plaza Hotel Public Company Limited

Corporate Office - Whistle Blower Protection

(สำนักงานพิทักษ์องค์กร)

Effective: 1 July 2019

## 1. Objectives

1.1 In order that all business units have a handbook of operating procedures, that is clearly written in documenting the detailed procedures and processes for investigating the true facts in accordance with the Company's regulations relating to dishonest acts, acts of corruption, or acts of non-compliance with the applicable laws and specified rules, regulations and orders of the Company or the established good governance practices and ethical behavior as per the Company's Code of Conducts. This is in order to establish set operating standards that focus on achieving effectiveness and that are also considered to be uniform operating practices, so as to enable the achievement of operating results according to both established goals and desired key procedural outcomes.

1.2 In order that working-level people are made aware of the required procedures and processes for investigating the true facts, with regard to complaints or information received about any complaint of acts of corruption or misconduct, in order to enable them to submit the related true facts and opinions as part of the associated Report to the Management in a timely as well as correct manner in accordance with the established procedures, that will then result in an effective operational outcome.

1.3 To indicate the required operating procedures and processes workflow for investigating the true facts with regards to complaints or information received about any alleged acts of corruption and misconduct.

1.4 To announce and communicate to all involved persons – both the complainants or informants (or whistle blowers) and the accused parties as well as any witnesses, those persons appointed to be Members of the Investigation Committee and any other involved parties, so that everyone can fully understand about the required procedures and processes workflow for investigating the true facts.

## 2. Scope of Coverage

This Investigation Handbook covers the required procedures in making any complaints together with those for investigating the associated true facts with regards to any report of acts of corruption and misconduct. As such, this starts with the process for submitting complaints or information by those entitled to act as whistle blowers, together with the process for investigating the associated true facts with regards to such complaints or information received about any report of acts of corruption and misconduct; and ends with the required final actions to complete this operating procedures and processes workflow.

## 3. Definitions

“**Company**” means the Central Plaza Hotel Plc. and Joint Venture Companies

“**Code of Good Governance and Business Ethics**” means the Company’s Code of Good Governance and Business Code of Conducts

“**Permanent Staff**” means any Employees, engaged to work by the Company on a permanent basis and paid a monthly salary, as per the Company’s list of salaried employees

“**Casual Staff**” means those persons hired by the Company under a temporary basis

**“Complaints or Information”** means the true facts received, in writing or verbally, about any actions, as undertaken by any person or parties, against the Company, its Permanent Staff, Casual Staff or any involved Stakeholder of the Company, that are considered to be alleged acts of corruption or acts of non-compliance with the applicable laws and specified rules, regulations, Company’s orders, and established good governance practices or ethical behavior as per the Company’s Code of Conduct; or about any actions undertaken by any person or parties that are considered to be deliberate and improper treatment of others, together with intimidating, imposing improper disciplinary punishment and mistreating others within the terms of employment in an inappropriate manner based on biasness and prejudice, that is mainly due to their having submitted complaints, giving (or about to give) information (whistle blowing), cooperating with the process of investigating the true facts, compiling the facts for the investigation process, as well as undertaking legal proceedings, being a witness and giving evidence or cooperating, in any way, with the Courts or Government Agencies.

**“Persons entitled to submit complaints or information”** means permanent employees, casual staff or Stakeholders or any other persons/parties coming across any actions undertaken against the Company, its permanent employees, its casual staff and its Stakeholders, that are considered to be alleged acts of corruption or acts of non-compliance with the applicable laws and specified rules, regulations, Company’s orders, and established good governance practices or ethical behavior as per the Company’s Code of Conduct; or about any actions undertaken by any person or parties that are considered to be deliberate and improper treatment of others, together with intimidating, imposing improper disciplinary punishment and mistreating others, within the terms of employment in an inappropriate manner based on biasness and prejudice, that is mainly due to their having submitted complaints, giving (or about to give) information (whistle blowing), cooperating with the process of investigating the true facts, compiling the facts for the investigation process, as well as undertaking legal proceedings, being a witness and giving evidence or cooperating, in any way, with the Courts or Government Agencies.

**“Complainant/Informant”** means those entitled to submit complaints and information, in writing, to those persons authorized to receive complaints/information; or those persons who have, verbally, made complaints and given information to those persons authorized to receive complaints/information.

**“Those who have been complained about”** means those persons/parties who are named or have been indicated as having undertaken any actions against the Company, its permanent staff, casual staff or any involved Stakeholder of the Company, that are considered to be alleged acts of corruption or acts of non-compliance with the applicable laws and specified rules, regulations, Company’s orders, and established good governance practices or ethical behavior as per the Company’s Code of Conduct; or named or have been indicated as having undertaken actions that are considered to be deliberate and improper treatment of others, together with intimidating, imposing improper disciplinary punishment and mistreating others, within the terms of employment, in an inappropriate manner based on biasness and prejudice, that is mainly due to their having submitted complaints, giving (or about to give) information (whistle blowing), cooperating with the process of investigating the true facts, compiling the facts for the investigation process, as well as undertaking legal proceedings, being a witness and giving evidence or cooperating, in any way, with the Courts or Government Agencies.

**“Those persons authorized to receive complaints/information”** means the following persons:

1. The Chairman of the Board of Directors  
at email: [suthikiatich@chr.co.th](mailto:suthikiatich@chr.co.th)
2. The Chief Executive Officer (CEO)  
Hotels Business Group, at email: [thirayuthch@chr.co.th](mailto:thirayuthch@chr.co.th)  
Food Business Group, at email: [nathvo@crg.co.th](mailto:nathvo@crg.co.th)
3. The Company Secretary Office  
at email: [ronnachitma@chr.co.th](mailto:ronnachitma@chr.co.th)

4. Vice President - Human Resources Management  
Hotels Business Group, at email: [rujapaha@chr.co.th](mailto:rujapaha@chr.co.th)  
Food Business Group, at email: [jaruwanng@crg.co.th](mailto:jaruwanng@crg.co.th)
5. Director, Corporate Office - Whistle Blower Protection  
Hotels Business Group, at email: [kristo@chr.co.th](mailto:kristo@chr.co.th)  
Food Business Group, at email: [nanthawanva@crg.co.th](mailto:nanthawanva@crg.co.th)

“Recipient of the complaints/information” means those persons authorized to receive complaints/information.

“Authorized Investigators of the true facts” means the following persons:

1. Vice President - Human Resources Management.
2. Corporate Senior Director - Whistle Blower Protection
3. Corporate Legal Office - Whistle Blower Protection, assigned to investigate the true facts
4. Other persons as assigned and delegated, by the CEO, to participate in the Investigation Committee.

#### 4. Procedures for submitting complaints/information (or whistle-blowing)

The Company has established the following procedures and methods for submitting complaints/information (or whistle blowing) about any report of acts of corruption and misconduct as well as acts of non-compliance with the applicable laws and specified rules, regulations and Company orders together with the established good governance practices or ethical behavior as per the Company’s Code of Conducts undertaken by the Company’s permanent employees and casual staff:

##### 4.1 Channels of communication for submitting complaints/information (or whistle blowing)

Persons entitled to submit complaints/information can do so via the 3 following channels:

- (1) Verbally in person, directly to the designated person(s) authorized to receive complaints/information
- (2) Via email, sent directly to the designated person(s) authorized to receive complaints/information
- (3) Via letter, sent by mailed directly to the designated person(s) authorized to receive complaints/information

The Complainant/Informant can choose not to identify himself/herself by name, if it is considered by the Complainant/Informant that it would be personally damaging to disclose his/her identity. However, if the Complainant/Informant chooses not to disclose his/her identity, then the complaint/information submitted must include all associated facts in full and clear detail, so as to sufficiently enable the complaint/information to be credible with regard to any actions towards the Company, its permanent employees and casual staff or its Stakeholders, that are considered to be of alleged acts of corruption and misconduct; or acts non-compliance with the applicable laws and the specified rules, regulations and orders of the Company or with the established good governance practices and ethical behavior as per the Company's Code of Conduct.

The Complainant/Information can submit the complaint/information via more than 1 of the established channels of communication and needs not to disclose his/her identity. However, by disclosing his/her name, it would enable the Company to give direct feedback of the final results in the consideration and investigation of the complaint/information received, or to provide further details on the matter in question

#### 4.2 If the complaint/information is submitted to a person not authorized to receive it

In the event that the Complainant/Informant submits the complaint/information to some other person, who is not an authorized to receive recipient complaints/information, then that person should forward the complaint/information received to the Corporate Senior Director - Whistle Blower Protection for formally submitting the complaint/information received to the

Chief Executive Officer (CEO) for consideration and assignment of the matter for further action as appropriate.

#### 4.3 Details of the complaint/information (or whistle blowing)

- (1) Clearly indicate the core issue of the complaint/information submitted, by stating whether it is a case of alleged act corruption or act of non-compliance with the applicable laws and the specified rules, regulations and orders of the Company or the established good governance practices and ethical behavior as per the Company's Code of Conduct; or a case of any person inappropriately mistreating or improperly punishing or intimidating another person, or taking inappropriate disciplinary action or undertaking improper biased and inequitable action against another person, within the terms of employment. As such, the details of the complaint/information submitted must be clearly stated and must be credible.
- (2) There must be corroborating factual evidence directly relating to the complaint/information submitted; whereby such clear and factual evidence must be attached to the complaint/information submitted, so as to provide sufficient reason to then result in the belief that an alleged act of corruption or act of non-compliance with the applicable laws and the specified rules, regulations and orders of the Company, or the established good governance practices and ethical behavior as per the Company's Code of Conduct has, indeed, occurred; or that there has been an occurrence of improper mistreatment and punishment, or intimidation, or of inappropriate disciplinary actions or improper biased and inequitable actions undertaken against a person within the terms of employment.
- (3) Detailed facts to be indicated in the complaint/information submitted are: the name persons/party (if available), about whom the complaint/information is submitted; the date /time and place that the alleged act of corruption took place; the alleged act and nature of non-compliance with the applicable laws rules and regulations; the resultant impact; the names of other persons/parties or of the Business Units who are able to provide further corroborating facts; and any related details as contained in photocopies of documents or other written evidence.

## 5. Procedures for investigating the true facts

The Company has established the following procedures and processes in dealing with any complaints/information received, relating to any alleged acts of corruption and misconducts or acts non-compliance with the applicable laws and the specified rules, regulations and orders of the Company, or the established good governance practices and ethical behavior as per the Company's Code of Conducts for permanent employees and casual staff

### 5.1 Submitting complaints/information to the Corporate Office - Whistle Blower Protection

Upon the authorized recipient having received the complaint/information from the Complainant/Informant, the complaint/information must be forwarded to the Whistle Blower Protection Department for consideration as to proceed further with the matter as follows:

- (1) The complaint/information received does not include full and clearly detailed concrete facts; and/or does not have sufficient factual evidence relating to the complaint/information received: The Whistle Blower Protection Department may try to search for more concrete facts or can submit the complaint/information to the Vice President - Human Resources Management and the CEO, respectively, for consideration and order the matter to be closed.
- (2) The complaint/information received includes full and clearly detailed concrete facts, and also has sufficient corroborating factual evidence relating to the core issue of the complaint/information: As such, the Whistle Blower Protection Department must proceed further in investigating the true facts.

### 5.2 Investigating the true facts, and the associated investigation time line

- (1) In the event that the complaint/information received includes full and clear corroborating factual evidence and does not involve many other Business Units:

The Whistle Blower Protection Department must consider and assess the full facts, and then report the results of the assessment within 30 days of receiving the complaint/information.

(2) In the event that the complaint/information received is a complicated matter and involves many other Business Units: The Whistle Blower Protection Department must submit the matter to the Vice President – Human Resources and the CEO, respectively, for consideration in establishing an Investigation Committee to find out the true facts, with a minimum of 3 Members, that includes:

1. At least 1 employee from the Business Unit involved  
with the complaint/information received
2. At least 1 legal from the Corporate Office - Whistle Blower Protection Department
3. Other Members of Investigation Committee can be appointed either from the Human Resources or the Internal Audit Department.

As such, appointed Members of the Investigation Committee must not have any vested interest in the matter in question; and the Investigation Committee must complete its work and then submit a report of the results of or findings from the investigation within 30 days of the Chairman of the Investigation Committee having received the authorization to investigate.

(3) Requesting an extension to time frame in investigation the true facts

In the event that it is not possible to complete the assessment or investigation of the true facts within the abovementioned required deadline, then the Whistle Blower Protection Department or the Chairman of the Investigation Committee (as applicable) can request for an extension to the established deadline of not more than 30 days at a time, by submitting a proposal to the CEO to approve the extension of the deadline in completing the assessment or investigation of the true facts,

### 5.3 Scope of authority and duties of those assessing the true facts and Investigation Committee to find the true facts

Those assessing the true facts or the Investigation Committee to find the true facts have the following authority and duties:

- (1) Compile all the true facts relating to the complaint/information received
- (2) Request various Business Units of the Company to send any relevant documents relating to the complaint/information received
- (3) Contact and coordinate with any external organizations, in order to request any relevant facts relating to investigation process
- (4) Invite the person/party about whom the complaint/information is submitted and/or any associated witnesses to give any relevant clarifications or associated corroborating evidence for consideration by the Investigation Committee; whereby the Superior/Supervisor of the person involved may or may not be informed, through taking into consideration the need to protect the total secrecy and overall confidentiality of the complaint/information received.

All Employees/Staff must fully cooperate in the investigation process; and any resistance shown, or obstruction made with regard to the investigation of the true facts, or any such similar actions on the part of those persons called on to give evidence, will be considered as a disciplinary misconduct.

In the event that those assessing the true facts, or the Investigation Committee find that any persons/parties, other than the person/party about whom the complaint/information has been submitted, has collaborated or supported or hired and ordered others to carry out the alleged acts or misconduct in question, then such persons/parties will be considered as also having directly undertaken the alleged acts or misconduct.

#### 5.4 Rights of the Complainant/Informant

In the event that the Complainant/Informant discloses his/her name, if after 30 days from the date the complaint/information was received and there has not been any response to confirm receipt of the complaint/information as submitted, then the Complainant/Informant can contact the Whistle Blower Protection Department, in

order to enquire and request a clarification and feedback of the status of the complaint/information submitted.

#### 5.5 Rights of the person/party about whom the complaint/information is submitted

The person/party about whom the complaint/information was submitted is entitled to declare his/her intention to make relevant any verbal clarifications, to submit relevant documents or further corroborating factual evidence, or to bring other witnesses to give evidence. As such, those assessing the true facts or the Investigation Committee to find the true facts (as applicable) must allow full opportunities for making such further verbal clarifications and for submitting any associated documents or written factual evidence.

The person/party about whom the complaint/information is submitted can make further clarifications – verbally in person or in writing, or also both. However, in the event of giving verbal clarification in person, this must be done in front of those assessing the true facts, after which the written transcript of the clarifications given must be signed to acknowledge its contents. And as such, in the event that the Investigation Committee is involved, then the verbal clarification must be given in person to the Investigation Committee, of which at least half of the total number of appointed Members must be present.

#### 5.6 The process in dealing with complaints/information received must be undertaken in a completely confidential manner, with any details to be disclosed only as necessary

The process relating to the investigation for the true facts must be undertaken in order to protect the confidentiality of the complaint/information received, with any details being disclosed only as necessary as well as taking into consideration the personal safety of the complainant/informant and the source of the complaint/information in question together with the safety of any other persons/parties involved. As such, those directly responsible for the all the various processes workflow must maintain any associated information at a maximum level of confidentiality; as well as must not disclose such information to any other person/party. If

this requirement for absolute confidentiality is breached, this is then considered to be a disciplinary misconduct

#### 5.7 Reporting the findings and results of the investigation for the true facts

(1) Once the person assessing the true facts or the Investigation Committee (as applicable) has completed the assessment or investigation process, then a Report of the Findings and Results of the assessment or investigation process must be completed; whereby details of the true facts must be described in a clear and comprehensive manner.

In the event that there is sufficient reason to conclude that there has, indeed, been an act of corruption or misconduct; or that an act of non-compliance has occurred with regards to the applicable laws and specified rules, regulations or Company orders or established good governance practices and ethical behavior as per the Company's Code of Conduct; then an opinion and recommendations should be given in the Report of the Findings and Results of the Investigation relating to the disciplinary misconduct in question as well as any appropriate measures to rectify the situation together with any other associated opinions.

(2) Once the Report of the Findings and Results of the Investigation has been completed, then the Whistle Blower Protection Department is to submit the report to the CEO for consideration and approval of further actions as follows:

→ In the event that a disciplinary misconduct is considered to have taken place: The matter is to be sent to the Vice President - Human Resources for consideration as to the appropriate disciplinary punishment to be taken against the Employee/Staff committing the misconduct in accordance with the established Company Rules Regulations

→ In the event that a criminal offense or an illegal act, punishable under the criminal laws, is considered to have been committed: The matter is to be sent to the Legal Department for consideration as to the appropriate legal proceedings and legal course of actions to be taken against the Employee/Staff committing the criminal offense

→ In the event that civil damages are considered to have been caused to the Company: The matter is to be sent to the Legal Department, in order to take the legal proceedings against the Employee/Staff committing the criminal offense so as to claim the appropriate compensation for such damages incurred by the Company.

→ In the event that NO apparent misconduct is considered to have been committed or occurred: The Whistle Blower Protection Department is to send the matter to the Vice President - Human Resources for further consideration. If the Vice President – Human Resources concurs with this conclusion, then the matter is to be sent to the CEO for consideration and approval to terminate the assessment/investigation exercise and to declare the matter as being closed.

In the event that the Vice President - Human Resources has differing opinions and does not concur with the conclusion of the Whistle Blower Protection Department, then the matter is to be sent to CEO for consideration and final decision.

#### 5.7 Informing and giving feedback on the findings/results of the investigating the true facts

Upon the Whistle Blower Protection Department having completed and submitted the Report on the Findings and Results of the investigation for the true facts, then the Whistle Blower Protection Department is to undertake the following actions:

- (1) Inform and give feedback to the complainant/informant, in writing, on the findings/results of the investigation for the true facts for his/her acknowledgement, within 7 days after completing the report
- (2) Inform the Risk Management Department and the Internal Audit Department within 30 days, in order to undertake an assessment relating to the relevant scope of authority and responsibilities, the results of which is then to be reported to the Risk Management Committee and Audit Committee respectively.

5.9 Employees/Staff treating others in an inequitable manner or acting inappropriately towards others in a biased and prejudicial manner; or causing adverse damages to others due to their having submitted complaints/information (ie: whistle blowing)

Where an Employees/Staff has treated others in an inequitable manner, or acted with an inappropriate manner with biasness and prejudice, or caused adverse damages to others - due to being motivated by the fact that the other person has submitted a complaint/information (whistle blowing) with regards to an alleged act of corruption or misconduct or act of non-compliance with the applicable laws and specified rules, regulations or Company orders or established good governance practices and ethical behavior as per the Company's Code of Conduct; as well as due to the fact that other persons have undertaken legal proceedings or who have acted a witness or and has cooperated, in some way, with the Courts and involved Government Agencies; such Employees/Staff is considered to have committed a disciplinary misconduct. In the event where such action by such the Employee/Staff is also an illegal action, then the Company is to also undertake legal proceedings as appropriate and in a strict manner.

#### 5.10 Cases where Company Executives/Management Members are the subject of a complaint/whistle blowing

(1) In the event that a Company Board Director or the Chief Executive Officer (CEO) is the subject of a complaint/whistle blowing, then the Chairman of the Board is to be responsible for considering the complaint and for ordering an investigation of the true facts to take place, as appropriate

(3) In the event that the Vice President – Human Resources is the subject of the complaint/whistle blowing, then the authority and responsibility to consider any complaints/whistle blowing received, that are normally vested in the Vice President -Human Resources, is to be taken up by the Chief Executive Officer (CEO) or, alternatively, by the Deputy CEO as appointed by the CEO.

(4) In the event that the Whistle Blower Protection Department is the subject of a complaint/whistle blowing, then the authority and responsibility to consider any complaints/whistle blowing, that are normally vested in the Whistle Blower Protection Department, is to be taken up by the Vice President – Human Resources or, alternatively, by Deputy as appointed by the CEO.

## 6. Measures for protecting complaints/informants and associated witnesses

In the event that a Complainant/Informant believes that he/she is in an unsafe situation and may be subject to some personal danger or damage, the Complainant/Informant can request the Company to determine one or other measures to give temporary personal protection to him/her as appropriate. As such, the decision to give such personal protection, as requested, is at the discretion of the CEO.

*Established Procedures and Processes Workflow are as shown below:*

## 7. Procedures workflow for dealing with received complaints/information

### 7.1 Procedures for submitting complaints/information (i.e. whistle blowing)

Persons entitled to submit complaints/information: salaried Employees, hired Staff, Stakeholders, and persons coming across alleged acts of misconduct

1. Any acts undertaken against the Company, salaried Employees, hired Staff or Stakeholders of the Company, that are allegedly or possibly:
  - 1.1 acts of corruption or fraudulence
  - 1.2 acts of misconduct or acts of non-compliance with the applicable laws or the specified rules, regulations and orders, and established good governance practices and ethical behavior in accordance with the Company's Code of Good Governance and Business Ethics
2. Any persons undertaking any actions to deliberately and unfairly treat or improperly punish and intimidate others within the terms of the employment; or to take unjustified disciplinary actions against them; or to improperly treat them in a biased and prejudicial manner due to the fact that they have submitted - or about to submit - complaints/information, etc.

Submit complaints/information: via these 3 modes of communication

1. verbally (in person)
2. E-Mail
3. Letter

Persons authorized to receive complaints/information:

1. The Chairman of the Board of the Company  
suthkiatich@chr.co.th
2. The Chief Operating Officer (CEO) of the Company  
Hotel - thirayuthch@chr.co.th  
Food - nathvo@crg.co.th
3. The Company Secretary  
ronnachitma@chr.co.th
4. The Vice President - Human Resources  
Hotel - rujapaha@chr.co.th  
Food - jaruwanng@crg.co.th
5. The Whistle-Blower Protection Officer  
Hotel - kristo@chr.co.th  
Food - nanthawanva@crg.co.th

## 7.2 Process for investigating the true facts

