



Whistle-blower

Energy One Ltd Policy

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Energy One Limited

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1 Introduction

Energy One (the “Company”) is committed to maintaining a high standard of integrity, investor confidence and good corporate governance.

This Policy operates in conjunction with other associated risk and compliance policies and has been implemented to ensure that employees and other workers can raise concerns regarding any serious wrongdoing (including unethical, illegal, corrupt or other inappropriate conduct) without being subject to victimisation, harassment or discriminatory treatment.

1.1 Scope

This policy applies to all Energy One management and employees. This policy also applies to contractors, sub-contractors, vendors, service providers, agents, consultants, visitors and guests as applicable. This group is hereafter referred to as “Employees”.

This policy does not form part of any person’s contract of employment or contract for services.

1.2 Effective Date

August 2019

2 Policy

All employees have a responsibility to help detect, prevent and report instances of suspicious activity or wrongdoing, referred to as a “Reportable Matter”. You are encouraged to raise concerns about any issue or suspicion of malpractice at the earliest possible stage with your immediate manager, serious matters will then be escalated through to senior management.

The Company is committed to ensuring that all employees have a safe, reliable and confidential way of reporting any Reportable Matters.

You should report a Reportable Matter under this Policy if you:

- have previously reported a Reportable Matter and you are not satisfied with the response to your report; or
- feel unable to raise the Reportable Matter with your manager, either because your manager is the subject of your report or because you have another reason to believe that your manager is unlikely to deal with the report properly.

2.1 What is a “Reportable Matter”?

Any matter that an employee genuinely believes is in breach of the Company’s policies or the law, should be reported in accordance with this Policy. Issues related to human resources grievances are managed under a separate mechanism (refer *Grievance Policy*) and are excluded from this Policy.

A Reportable Matter is any concern (actual or suspected) about the following conduct, or the deliberate concealment of such conduct:

- dishonest behaviour;
- fraudulent activity;
- unlawful, corrupt or irregular use of company funds or practices;
- illegal activities (including theft, dealing in or use of illicit drugs, violence or threatened violence and criminal damage against property);
- unethical behaviour, including anything that would breach the Company’s Code of Conduct;
- improper or misleading accounting or financial reporting practices;
- a breach of any legislation relating to the Company’s operations or activities;
- behaviour that is oppressive, discriminatory or grossly negligent;
- an unsafe work-practice;
- any behaviour that poses a serious risk to the health and safety of any person at the workplace;
- a serious risk to public health, public safety or the environment; or
- any other conduct which may cause loss to the Company or be otherwise detrimental to the interests of the Company.

2.2 How to Report

Any report under this Policy can be made via any of the following, noting it may depend on the matter and the person who is the subject of the matter:

- to your immediate manager
- to the Notifiable Persons as per SharePoint
- to the Chief Executive Officer

At all times, these discussions will remain confidential. You may at any stage skip a person in the chain outlined above if that person is the subject of the report or if you have another reason to believe that the person is not likely to deal with the report properly.

While reports can be made anonymously if preferred, this may affect the ability to investigate the matter properly and to communicate with you about your report.

Nothing in this Policy should be taken as restricting you from reporting any matter or providing any information to a regulator or any other person in accordance with any relevant law, regulation or other requirement.

Action required when your Report is made

The person to whom you make a report to under this Policy must do the following:

- ensure that the matter is properly investigated by a person nominated for the purposes of this Policy (who may be a Company Executive or Director, or some other independent and suitably qualified person nominated by the Chief Executive Officer)
- give the Chief Executive Officer particulars of the report that has been made

If this person is not a Company Executive, he or she must advise the relevant Company Executive, who is then responsible for ensuring that the matter is properly investigated as described.

2.3 Investigation Process

Investigation processes will vary depending on the precise nature of the conduct being investigated. The purpose of the investigation is to determine whether or not your concerns are substantiated, with a view to the Company then rectifying any wrongdoing uncovered to the extent that this is practicable in all the circumstances.

The investigation will be thorough, objective, fair and independent of you, anyone who is the subject of the Reportable Matter, and any business unit concerned. The investigation will also have proper regard to the principles set out in the Australian Standard on Whistleblower Protection Programs.

2.4 Communicating with you about your Report

The person to whom you make a report to will keep you informed of the outcome of the investigation arising from your report, subject to considerations of the privacy of anyone who is the subject of the Reportable Matter and normal confidentiality requirements.

Where practicable, you will be provided with initial feedback within a week of making your report, and any further feedback on a fortnightly basis as the matter progresses.

2.5 Your Protection

The person to whom you make a report to under this Policy may, if you agree, disclose your identity to the investigator, but will otherwise keep your identity confidential. They will ensure that all files

relating to your report are kept secure, and that information received from you is held in confidence and is only disclosed to a person not connected with the investigation if:

- you have been consulted and have consented to the disclosure, or
- it is required or permissible by law

It is possible that someone might deduce your identity without there having been a breach of confidentiality, if the nature of your report points to one particular individual having made it, or otherwise as a consequence of the nature of the investigatory process.

The Company recognises that “whistleblowing” can be a very stressful and difficult thing to do. Provided that you are acting in good faith and that you have not yourself engaged in serious misconduct or illegal conduct, to the maximum extent possible you will not be subject to disciplinary sanctions by the Company in relation to any matters that you report.

The Company will safeguard your interests, having regard to this Policy, and any other applicable policies and laws.

In particular, the Company will take whatever action is possible consistent with this Policy to make sure that you are not personally disadvantaged for making your report, whether by dismissal, demotion, any form of harassment, discrimination or any form of current or future bias.

If you claim to have been the subject of any such action as a consequence of making your report, and the matter cannot be resolved with you by management, the matter will be referred to the Chair of the Audit and Risk Committee.

2.6 False Reporting

A false report of a Reportable Matter could have significant effects on the Company’s reputation and the reputations of other staff members and could also cause considerable waste of time and effort.

Any deliberately false reporting of a Reportable Matter, whether under this Policy or otherwise, will be treated as a serious disciplinary matter.

2.7 Breaches of this Policy

A failure to comply with the obligations contained in this Policy will lead to disciplinary action which may include, but is not limited to, termination of an employee’s employment or a contractor’s services.

2.8 Variations

The Company reserves the right to vary, replace or terminate this Policy at any time.

2.9 Related Policies and Documents

- EOL Code of Conduct