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2	02/11/2015	Review and update against Information Security Policy	Rebecca Matthews
3	20/12/2016	Update document onto new Policy Template	Kate Stella
4	20/8/2018	Document reviewed for accuracy and currency	Sharon Phayer
5	01/07/2019	Updated to include new Whistleblower laws	Sharon Phayer
6	29/11/2019	Updated to reflect Regulatory Guidance #270	Jackie Moriarty
7	21/5/2020	Updated to include script for receiving disclosures	Jackie Moriarty
8	01/12/2020	Rebrand	Kate Stella
9	31/08/2021	Update contact name	Kate Stella
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11	03/10/2022	Review for currency	Jackie Moriarty
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Introduction

Asuria People Services Pty Ltd (**'Company'** or **'Asuria'**) is committed to the highest possible standards of openness, honesty and accountability. By encouraging a culture of openness within our organisation, the Company is better able to address any issues that might arise within the business. With this commitment, we encourage our employees who have concerns, suspect, or are aware of any wrongdoing about any aspect of our work to voice them without fear of punishment or adverse consequence. The Company is committed to ensuring full compliance with our statutory and contractual obligations and the rights of people working for the Company.

Scope

Who does this policy apply to? Who is an eligible Whistleblower?

- All current and former officers or employees of the Company (including self-employed contractors, agency, temporary and voluntary workers);
- Associates of the Company;
- Suppliers of the Company (whether paid or unpaid), including their employees; and
- A relative, dependent or spouse of any of the aforementioned people.

Enterprising Heart Statement

'Enterprising Heart' defines the principles that integrate our company strategy with our individual actions. Ours is a culture that beats to an Enterprising Heart. Our people balance compassion and empathy with their daily work with a drive to ensure the commercial outcomes of the organisation. Asuria employees are always open to new ideas and debate while maintaining our growth focus. We encourage our people to be imaginative and resourceful. Without exception Asuria treats everyone with dignity and respect. The DNA of 'Enterprising Heart' pushes our people and our company beyond the traditional emphasis on economic growth and promotes the integration of community to establish a value and principled-focussed organisation.

Policy

This policy is designed to provide the opportunity for eligible individuals to disclose relevant concerns and receive feedback on action taken. It is also designed to reassure employees that they are protected from dismissal, harassment, intimidation or other detrimental treatment provided that they are acting in good faith when 'whistleblowing', it does not matter if they are mistaken. Good faith means having **reasonable grounds** to suspect the information they are disclosing about the company relates to misconduct or an improper state of affairs or circumstances.

This policy encourages a culture where any officer, employee or contractor does not suffer detriment because of speaking up about potential misconduct concerns.

If there are matters which an employee thinks the Company should know about, they should report it in line with this policy and procedure. By knowing about wrongdoing at an early stage the Company stands a good chance of taking the necessary steps to safeguard the interests of employees, the public and the Company. In short, employees should not hesitate to let us know about genuine concerns.

What should be reported?

We encourage people to make disclosures about a broad range of matters. Whilst not all matters will qualify for protection under the Australian whistleblower laws, we will treat all disclosures made under this policy in the same way. However, disclosures cannot be made under this policy relating solely to personal work-related grievances (see section below headed 'Personal work-related grievances').

To be protected under the Australian whistleblower laws, you must make an eligible disclosure and must have reasonable grounds for that disclosure. You can still qualify for protection if your disclosure turns out to be incorrect, but you will not be protected if you make a deliberately false disclosure.

Disclosures do not have to be about breaking the law. Eligible disclosures can be about misconduct or an improper state of affairs or circumstances that you have reasonable grounds to suspect has occurred or is occurring in relation to the Company.

The following are issues which the Company would regard as wrongdoing and could be raised under the whistleblowing policy. This list is not exhaustive nor limiting and employees should use discretion on other possible wrongdoing that are not shown below:

- Falsification of records of any sort;
- Inappropriate use of external funding;
- Possible fraud, theft or corruption;
- Criminal offence(s) or a breach of law that has been committed, is being committed, or

- is likely to be committed;
- Leaking confidential information in respect of the Companies activities and/or records;
 - Damage, or likely damage to the environment;
 - Widespread serious misuse of Company assets, including computer hardware and software, buildings, phones and vehicles;
 - Undertaking of undisclosed private work which may conflict with duties and responsibilities, or which are being carried out during working time;
 - Concerns regarding actual or possible breaches of Workplace / Occupational Health and Safety Regulations;
 - Accepting gifts or inducements in return for influencing key decisions
 - Activity that poses a significant risk to public safety, people, property, operations or the environment (irrespective of whether it involves a breach of law);
 - Conduct that represents a danger to the public or the financial system;
 - Conduct that is damaging to the Company's financial position or reputation;
 - Misconduct concerning corporate governance, accounting or audit matters; or
 - Deliberately concealing information regarding any of the above matters.

What types of disclosures are protected?

The disclosures protected by the laws include disclosures where an eligible individual has reasonable grounds to suspect that the information disclosed concerns:

- misconduct or an "improper state of affairs or circumstances" regarding any of the entities covered by the laws or their related bodies corporate;
- conduct that breaches applicable laws, including the Corporations Act 2001 (Cth) or a range of specified insurance, life insurance and superannuation statutes;
- conduct that relates to an offence against any law of the Commonwealth which is punishable by imprisonment for 12 months or more; or
- a danger to the public or the financial system.

The disclosure must be reported to an eligible recipient of the Company. There is no requirement for an eligible discloser to identify himself or herself in order for a disclosure to qualify for protection.

Personal work-related grievances

A personal work-related grievance is a grievance about an individual's employment that has implications only for the individual personally (such as payroll or remuneration issues, promotion decisions and interpersonal conflicts), but does not have any other significant implications for the Company or relate to conduct about an eligible disclosure as referred to above. Disclosures about personal work-related grievances are not generally protected by the laws. This includes disclosures about:

- matters pertaining to a discloser's employment that impact upon the employee personally;
- interpersonal conflict between a discloser and another employee;
- decisions relating to promotions, demotions, terms and conditions of employment; and
- decisions about taking disciplinary action against a discloser (including decisions about suspension and termination of employment).

Disclosures about **solely personal work-related grievances are not covered** by this policy and **do not** qualify for protection under the Australian Whistleblower laws unless they also relate to any detriment or threat of detriment to you.

However, such a disclosure may still qualify for protection if:

- it is a 'mixed' disclosure – meaning it includes information indicating other misconduct beyond your personal circumstances (for example, widespread bullying or harassment);

- the Company has breached employment or other laws punishable by imprisonment for a period of 12 months or more;
- the Company has engaged in conduct that represents a danger to the public;
- you suffer from or are threatened with, detriment for making a disclosure; or
- you seek legal advice or representation about the operation of the Australian Whistleblower laws.

If you are unsure, we encourage you to make your disclosure under this policy.

It is important to note that:

It is important to note that not commenting on such activity is, the wrong thing to do, however if you wish to remain anonymous when reporting a malpractice or wrongdoing, you may do so. Information on how to remain anonymous is set out under *procedure* of this document.

Any complaints that an employee may have with regards to their own personal circumstances should be raised in accordance with the company Internal Complaints Grievance Dispute Resolution Policy and Procedure.

Your protection as a Whistleblower:

If you raise a genuine concern in good faith under this policy, you will not be at risk of losing your job, suffering any form of retribution, detrimental treatment or negative or adverse consequences as a result. This applies even if you are mistaken on what you reported. You must however reasonably believe that the information that you have tends to show some wrongdoing. **This assurance does not apply to someone who maliciously raises a matter which they know is untrue.**

As per the company Anti-Bullying and Anti-Discrimination (including harassment, sexual harassment and victimisation) Policies, the Company will not tolerate harassment or victimisation and will take action to protect you when you raise a concern in good faith. The Company will maintain strictest confidentiality when dealing with any concerns raised and if you ask us to keep your identity confidential, we will not disclose your identity without your consent. If you make a protected disclosure, it is illegal for anyone to identify you or disclose any information that is likely to lead to you being identified, unless:

- any disclosure of information does not include your identity and is reasonably necessary to investigate your disclosure (but all reasonable steps must be taken to reduce the risk that you will be identified from the information);
- it is necessary to obtain legal advice about your disclosure and the Whistleblower laws, in which case, we can pass the information on to our lawyer;
- we need to disclose the information to the Australian Federal Police, the Australian Securities and Investments Commission, the Australian Prudential Regulatory Authority (APRA), or the Australian Commissioner of Taxation, if the disclosure concerns the Company tax affairs or the tax affairs of an associate of the Company; or
- you consent to that disclosure.

No one at the Company (including any officers, employees or contractors) may cause or threaten any detriment to any person because they think a disclosure has been or might be made under this policy. In this regard, '**detriment**' includes:

- dismissal of an employee;
- injury of an employee in their employment;
- alteration of an employee's position or duties to their disadvantage;
- discrimination, harassment or intimidation;
- harm or injury including psychological harm, damage to property, reputation or financial position; or

- taking action against a person (including any disciplinary action or imposing a liability) for making a disclosure.

However, the Company is entitled to take steps that:

- are reasonably necessary to protect you from detriment (for example, moving you to another office to protect you from detriment if you have made a disclosure about your immediate work area); or
- relate to managing unsatisfactory work performance in line with the Company performance management framework.

Whilst employees are able to report a malpractice or wrongdoing anonymously, it is important that they note that without telling us who they are, it will be much more difficult for the Company to look into the matter, to protect the employees' position, or to give them feedback on any investigation resulting on the matter.

Civil, Criminal and Administrative Liability Protection:

An eligible individual is protected from the following in relation to an eligible disclosure:

- Civil liability (e.g. legal action against the discloser for breach of an employment contract, duty of confidentiality or any contractual obligation)
- Criminal liability (e.g. attempted prosecution of the discloser for unlawfully releasing information, or other use of the disclosure against the discloser in a prosecution – other than for making a false disclosure)
- Administrative liability (e.g. disciplinary action for making the disclosure)

The above protections do not grant immunity for any misconduct a discloser has engaged in that is revealed in their disclosure.

Compensation and Remedies:

You may seek compensation and other remedies through the courts if:

- You suffer loss, damage or injury because of a disclosure; and
- The Company failed to take reasonable precautions and exercise due diligence to prevent detrimental conduct.
- The Company has in place processes for protecting, supporting and monitoring the welfare of anyone who makes a disclosure.

Procedure

Reporting internally:

If an employee has not reported using anonymous forms and wants to raise a matter 'in confidence', they must say so at the outset of the reporting process so appropriate arrangements can be made.

1. Where the employee is able to do so, any concerns should be raised in the first instance with their immediate line manager, preferably in writing, setting out the background and history of the concern. Where available, the reporter should provide names of those concerned, dates and places, and the reasons why they are particularly concerned about the situation.

If the employee has any documentary evidence in support of their allegations, they should also include copies of any and all such evidence.

2. If the employee is unable to raise the matter with their immediate line manager (for examples where allegations refer to act(s) and/or omissions by them) the concerns should be raised with the next level of management or People and Culture.

Alternatively, the Company has set up a confidential email account which employees can raise their concern directly. This account is monitored by People and Culture. The email is: confidential@asuria.com.au

Reporting anonymously:

If an employee would prefer to report the concern anonymously, they have two methods in which they can do this.

It is important to note that employees who chose to report this way will limit the Company's ability to investigate the concern as they are not able to follow up with the employee who reported for more information. This also means that the Company is not able to provide feedback on the status of the investigation as it is unknown who reported it.

For this reason, the Company requests that any employee reporting through this method provides as much information as possible to allow the Company the best chance at taking necessary steps to safeguard the interests of employees, the Company and the public.

1. "Contact Us" on the website.
Employees may report anonymously via "The Contact Us" section on the Company website.

To submit via this method, the website will require text entered into all fields, including name and email. To maintain confidentiality, the Company suggests Employees complete the 'Name' field with: Whistleblower, and the 'Email' field with: whistleblower@asuria.com.au

The free text field will allow the Whistleblower to provide as much as information as possible, in accordance with this policy.

2. Via Post.
In the event that the employee reporting the issue does not want to report online or has additional documentary evidence that they are not able attach using the website, they are encouraged to post the information to their direct Line Manager (at the branch address) or the P&C Manager (address below) for investigation, including all attachments/documentary evidence.

Post to:

Confidential

P&C Manager: Asuria

Level 17, Tower A, 821 Pacific Highway Chatswood NSW 2067.

Reporting Externally:

The main purpose of the Whistleblower policy is to give employees the opportunity and protection they need to raise concerns internally. The Company would expect that, in almost all cases, raising concerns internally would be the most appropriate action to take.

However, if an employee feels they cannot raise their concerns internally and they reasonably believe the information and allegations are substantially true, they can consider raising the matter with the appropriate regulator.

Protected disclosures can be made to the following persons:

- eligible recipients within the Company (officers or senior managers). The eligible recipients of the Company are the Privacy Officer, the Chief Executive Officer

- and the Company Secretary.
- auditors of the Company;
- trustees of a superannuation entity; and
- Australian Securities & Investments Commission
 - GPO BOX 9827 Brisbane QLD 4001
 - Or complete an online form at
 - <https://asic.gov.au/about-asic/contact-us/how-to-complain/report-misconduct-to-asic/>

If a whistleblower has taken a number of prescribed steps to previously disclose the information and has reasonable grounds to believe that action is not being taken to address the relevant issue, there is a capacity (subject to certain pre-requisites being met) to make protected disclosures to a journalist or member of State or Federal Parliament.

Responsibilities

How will the Company respond?

The Company will look into and respond to reports by assessing what action, if any, should be taken. Some reports may be resolved without the need for investigation. However, the action taken by the Company will depend on the nature and seriousness of the concern.

The matters raised may be:

1. Investigated internally;
2. Referred to the Police;
3. Reported to the funding provider where relevant;
4. Referred to external auditors; or
5. Form the subject of some independent enquiry.

If the employee has not reported the matter anonymously, the Company will respond to the 'whistle-blower' by informing them who is handling the matter, how they can contact them and whether further assistance/information from the whistle-blower may be needed. If the employee is comfortable in doing so, the investigating party may request a meeting with the 'whistle-blower' to discuss the concern – this would be in strictest confidence.

The Company will always strive to handle matters fairly, properly and promptly. The Company will endeavour to complete investigations within a reasonable period of time and, where appropriate, keep the 'whistle-blower' informed of the progress of the investigation as it is being carried out and when it has been completed. It is important to note that the Company may not be able to inform the 'whistle-blower' of any matters or outcomes which would infringe the duty of confidentiality owed to others involved.

Employee Responsibilities:

All employees should raise genuine concerns relating to instances of malpractice as set out in this policy. It is important to note that not commenting on such activity is, in itself, the wrong thing to do.

Manager Responsibilities:

Managers have the responsibility to ensure that all employees are aware of this policy and the confidential reporting procedure.

Managers must also ensure that support is given to staff who report concerns under this policy and where referrals are made to P&C to discuss next steps, the referral should not compromise the employee's anonymity, should they wish to report in confidence.

Managers should note that protected disclosures are often reported outside of working hours.

They should be prepared for this and utilise the following script to ask the discloser:

- "What are your expectations - Is this a complaint or are you making a formal

whistleblowing disclosure?"

- If the response is a complaint, advise the discloser to follow the Internal Complaints, Grievances and Dispute Resolution Policy (for employees) or to contact the Privacy Officer (for non-employees)
 - If the response is a formal whistleblowing disclosure, advise the disclosure:
 - "I need you to contact an Eligible Recipient":
 - Sharon Phayer 0477 202 61
 - Nicole Grainger- Marsh 0439 065 618
 - Or "If you feel comfortable, I can refer you to them"
 - Or "If you are still not comfortable, you can go straight to the Regulator (ASIC)"

Under no circumstances should the Manager share formal disclosures with anyone other than an Eligible Recipient of the Company.

People and Culture and Senior Management Responsibilities:

People and Culture and the Senior Management team will provide a confidential reporting mechanism for staff who feel that they cannot raise their concerns with their direct manager. They will also ensure that they are continuously reviewing and updating our practices with the most recent information and guidance.

This policy is to be available on the Asuria website at all times. This Policy forms part of the Action HRM compulsory suite of training and all employees are required to read and acknowledge the Policy.

Board Reporting

The Whistleblower Protection Officers must provide the Board at least quarterly reports on all active Whistleblower matters, including information on:

- the number and nature of disclosures made in the last quarter (for example, by who, who to and matter type);
- how disclosures were reported;
- the status of any investigations underway;
- the frequency of communications with disclosers;
- the outcomes of completed investigations and actions taken; and
- the timeframes for responding and investigating disclosures.

The Company Secretary is authorised to make administrative and non-material amendments to this policy provided that any such amendments are notified to the Board or its delegated committee at or before its next meeting.

Non-compliance with this Policy

Any breach of this policy by an officer, employee or contractor will be taken seriously by the Company and may be the subject of a separate investigation and/or disciplinary action.

A breach of this policy may also amount to a civil or criminal contravention under the Australian Whistleblower laws, giving rise to significant penalties.

We encourage you to raise any concerns about non-compliance with this policy with the Whistleblower Protection Officer in the first instance. You can also lodge any concerns to ASIC or the ATO for investigation.

Exceptions to the Policy

As necessary, exceptions will be dealt with on a case-by-case basis by the Executive Director Quality & Compliance and the CEO.

Change Log

Date	Change	Why Changed
03/10/2022	Change HR to People and Culture Updated maximum penalties	Rename of division As per ASIC Penalty Unit value
19/4/2023	Reviewed for currency – Bespoke Lawyers	General updates

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Ownership

Asuria is nominated as the Owner of this policy.

Disclaimer

This Policy and Procedure document is designed to assist employees of Asuria in performing their duties and responsibilities, and otherwise to set out general information in relation to certain subjects.

Complying with the law and observing Policy and Procedure is a condition of working at Asuria. Non-compliance may lead to disciplinary action up to, and including termination of employment.

Asuria may alter or withdraw this Policy from time to time, or choose not to apply any part or all of this procedure in a particular instance at its absolute discretion, unless expressly stated otherwise in this document, or in an underlying template document contained on or linked through this page. Because this policy and procedure document and any underlying policies and procedures may be changed by Asuria from time to time, this site should always be accessed to ensure that the policy and procedure being accessed is the current version. Employees should not rely on printed documents without checking the current status of this Policy and Procedure via Gateway.