

# Whistleblowing Policy

This policy is dated February 2025

## TABLE OF CONTENTS

1.	BACKGROUND .....	2
2.	PURPOSE .....	2
3.	RELATIONSHIP TO OTHER POLICIES .....	2
4.	POLICY OWNER .....	3
5.	WHO THIS POLICY APPLIES TO – 'ELIGIBLE WHISTLEBLOWERS' .....	3
6.	WHAT THIS POLICY APPLIES TO – 'DISCLOSABLE MATTERS'? .....	3
7.	HOW AND WHOM TO MAKE A DISCLOSURE TO UNDER THIS POLICY .....	4
8.	WHERE CAN I GET MORE INFORMATION AND ADVICE? .....	7
9.	PROTECTIONS FOR WHISTLEBLOWERS UNDER THE LAW .....	7
10.	PRACTICAL SUPPORT FOR WHISTLEBLOWERS .....	9
11.	HANDLING AND INVESTIGATING A DISCLOSURE .....	10
12.	ENSURING FAIR TREATMENT OF INDIVIDUALS MENTIONED IN A DISCLOSURE .....	12
13.	MAKING THE POLICY EASILY ACCESSIBLE .....	13
14.	TRAINING AND EDUCATION .....	13
15.	REVIEW AND UPDATES OF THIS POLICY .....	13
16.	ANNEXURE – FURTHER INFORMATION .....	14

## 1. BACKGROUND

Consistent with Lochard Energy's principles and values, we:

- recognise the value of transparency and integrity in our operations and management practices;
- are committed to creating and maintaining a supportive environment where our people feel comfortable and protected to make a disclosure of an alleged wrongdoing without detriment;
- support a fair, impartial and timely process of investigating alleged wrongdoings; and
- support proportionate actions being taken in response to alleged wrongdoings that are found to exist.

## 2. PURPOSE

The purpose of this Policy is to:

- encourage more disclosures of wrongdoing and help to deter wrongdoing;
- provide an understanding of what can be reported under this Policy;
- demonstrate the importance Lochard Energy places on ensuring a safe, secure and supportive environment where our people feel confident to raise breaches of internal rules or policy or disclosable matters relating to the organisation, its officers or employees without detriment;
- assist to create and nurture a culture within Lochard Energy that encourages our people to speak up and raise breaches of internal rules or policy or disclosable matters;
- explain the processes and practical steps to take for reporting breaches of internal rules or policy or disclosable matters, including what happens when you make a disclosure;
- outline how you will be protected if you make a disclosure; and
- meet Lochard Energy's legal and regulatory obligations.

## 3. RELATIONSHIP TO OTHER POLICIES

This Policy:

- forms a part of our risk management system and corporate governance framework;
- is one of the mechanisms in our risk management tool kit for identifying wrongdoing; and
- is available to all employees as part of their employment information.

## 4. POLICY OWNER

This Policy is owned by the General Manager, People, Safety & Sustainability

## 5. WHO THIS POLICY APPLIES TO – ‘ELIGIBLE WHISTLEBLOWERS’

Protections under this Policy and the Corporations Act 2001 (Cth) and the Tax Administration Act apply to ‘eligible whistleblowers’. Eligible whistleblowers are individuals who are, or have been (i.e. former):

- employees (whether permanent, part-time, fixed-term, temporary or secondees);
- officers (e.g. directors and company secretaries); and
- suppliers of goods or services to Lochard Energy (including contractors and consultants).

This Policy also applies to the abovementioned individual’s spouses, dependents and other relatives and Lochard Energy’s ‘associates’ (usually those with whom Lochard Energy has acted in concert).

## 6. WHAT THIS POLICY APPLIES TO – ‘DISCLOSABLE MATTERS’?

### ***Disclosable matters***

Only ‘disclosable matters’ qualify for protection under this Policy and the Corporations Act or the Taxation Administration Act 1953 (Cth).

Disclosable matters involve disclosures of information that the whistleblower has reasonable grounds to suspect concern misconduct, or an improper state of affairs or circumstances, in relation to Lochard Energy.

Information that indicates a significant risk to public safety or the stability of, or confidence in, the financial system is also a disclosable matter.

Examples of disclosable matters include:

- an unlawful or criminal offence, breach of trust, breach of duty or breach of law;
- a breach of Lochard Energy’s policies (including Lochard Energy’s HSE and other policies);
- misuse of Lochard Energy’s resources or opportunities, including fraud, corruption or bribery;
- unauthorised payments or financial irregularities;
- conduct endangering health and safety (relating to Lochard Energy or the public) or causing unlawful damage to the environment;
- systemic issues that a regulator could be expected to need to know to properly perform its functions; and
- unauthorised use of Lochard Energy’s property or confidential information.

Lochard Energy encourages those who are aware of or reasonably suspect wrongdoing to speak up. To have a 'reasonable ground to suspect' wrongdoing, the discloser should have information leading to a suspicion, but the discloser does not need to have all the details or be able to prove to the allegation. Lochard discourages deliberate false reporting. Deliberate false reporting may be subject to disciplinary action.

### ***Personal work-related grievances***

Matters that are solely personal work-related grievances are not disclosable matters which can be reported under this Policy and are not given whistleblower protections under the Corporations Act or the Taxation Administration Act.

Personal work-related grievances relate to a person's current or former employment and have implications for the whistleblower personally, but do not have any other significant implications for the organisation or relate to disclosable matters.

Examples of personal work-related grievances include:

- an interpersonal conflict between a person and another employee;
- a decision that does not involve a breach of workplace laws;
- a decision relating to the engagement, transfer or promotion of a person;
- a decision relating to the terms and conditions of engagement of a person;
- a decision to suspend or terminate the engagement of a person, or otherwise to discipline the whistleblower.

Personal work-related grievances should be raised internally using Lochard Energy's Grievance Policy.

Note however that a personal work-related grievance may still qualify for protection under this Policy and the Corporations Act or the Taxation Administration Act in certain circumstances, including:

- disclosures of circumstances or misconduct covered by this Policy which also include a personal grievance;
- serious breaches of employment or other laws; and
- matters that represent a danger to the public.

## **7. HOW AND WHOM TO MAKE A DISCLOSURE TO UNDER THIS POLICY**

Disclosures must be made to an 'eligible recipient' to be eligible for protection under this Policy and the Corporations Act or the Taxation Administration Act. Eligible recipients are:

- A. internally, officers of Lochard Energy or the Lochard Management Team (**LMT**), as explained below;

- B. Lochard Energy's external, independent whistleblower service provider – 'Your Call';
- C. certain regulatory bodies and certain other external parties.

The role of an 'eligible recipient' is to receive disclosures that qualify for protection under this Policy and the Corporations Act or the Taxation Administration Act.

Disclosures can be made anonymously and/or confidentially, securely and either inside or outside business hours and still be protected under this Policy and the Corporations Act or the Taxation Administration Act.

Lochard Energy supports openness and teamwork. This Policy is not intended to replace or deter employees or disclosers from seeking to resolve issues quickly or informally. If you consider that making an internal, informal disclosure is appropriate for the circumstances and you do not wish to remain anonymous, you are encouraged to raise misconduct as early as possible with your supervisors and managers.

***Making a disclosure internally to an officer or LMT member***

If you do not feel comfortable or consider it inappropriate to raise misconduct with your supervisor or manager, you may make a disclosure to an officer (e.g. a director or company secretary) or LMT member of Lochard Energy, including to any of the Disclosure Officers listed below:

Lochard Energy's Disclosure Officers are:

- General Manager, People, Safety & Sustainability;
- Chief Financial Officer; and
- Chief Executive Officer.

***Making a disclosure to Lochard Energy's independent service provider – 'Your Call'***

If, for any reason, you do not feel comfortable or able to make a disclosure internally, you may do so to Lochard Energy's external, independent whistleblower service provider, Your Call. Your Call acts as the intermediary, providing the means for a whistleblower to remain anonymous.

Anonymity can only be achieved by a whistleblower by making all disclosures through Your Call, not by making a disclosure to Lochard Energy personnel. Through the Your Call service, a whistleblower can:

- choose to remain anonymous while making a disclosure, over the course of the investigation and after the investigation is finalised; and
- refuse to answer questions that they feel could reveal their identity at any time, including during follow-up conversations.

Whistleblowers who wish to remain anonymous via the Your Call service are encouraged to maintain ongoing two-way communication via the Your Call Message Board, described below.

Your Call enables Lochard Energy to obtain further information if required and enables the whistleblower to receive updates or feedback about their disclosure.

This is done via the use of an online anonymous Message Board which the whistleblower will have access to after making a disclosure.

The Message Board allows you to:

- communicate with Your Call and/or Lochard Energy without revealing your identity;
- communicate about the disclosure at any time of the day;
- securely upload any relevant documentation that you wish to provide;
- receive updates; and
- request support or report detrimental acts.

This option allows you to:

- remain completely anonymous if you wish;
- identify yourself to Your Call only; or
- identify yourself to both Your Call and Lochard Energy.

Your Call reporting options include:

- **Website:** <https://www.yourcall.com.au/report>  
(Available 24/7; our organisation's unique identifier code is: "IONA"); or
- **Telephone:** 1300 790 228  
(Available between 9am and 12am AEST on recognised Australian national business days).

If a disclosure received by Your Call relates to a Disclosure Officer, Your Call will exclude that Disclosure Officer from all communications when providing the disclosure to Lochard Energy. The Disclosure Officers who are not named in the disclosure will then receive and determine how the matter will be addressed or investigated as required. Your Call remains an independent intermediary at all times and will only communicate with those authorised within Lochard Energy.

### ***Making a disclosure to other external parties***

Disclosures may also be made to:

- an external auditor or certain regulatory bodies (e.g. ASIC, ATO, APRA); and
- other external parties in certain circumstances. Further details are provided in the Annexure to this Policy.

## 8. WHERE CAN I GET MORE INFORMATION AND ADVICE?

If you need further information and advice about making a disclosure or the support and protection available, you may discuss the matter in confidence with your immediate supervisor, manager, the General Manager, People, Safety & Sustainability (Jenny Smith, [jenny.smith@lochardenergy.com.au](mailto:jenny.smith@lochardenergy.com.au)) or the General Counsel (Paula Walker, [paula.walker@lochardenergy.com.au](mailto:paula.walker@lochardenergy.com.au)). If you wish to receive any further information and advice beyond this Policy on an anonymous basis, you may contact Your Call (details provided above). You also have the option of seeking information and advice from an external lawyer.

If you make a disclosure to a legal practitioner for the purpose of obtaining legal advice or legal representation in relation to part of the Corporations Act or the Taxation Administration Act (which includes the whistleblower protections and confidentiality of a whistleblower's identity) the disclosure will be protected under the relevant act, even if the legal practitioner concludes that a disclosure does not relate to a 'disclosable matter'.

If you do not formally make a disclosure, but you provide information to Lochard Energy personnel about a matter in the course of seeking further information and advice, the Lochard Energy personnel that you have spoken to may nevertheless be compelled to act on the information provided during the discussion if the information reasonably suggests misconduct has or may occur.

## 9. PROTECTIONS FOR WHISTLEBLOWERS UNDER THE LAW

To qualify for protection as a whistleblower under the Corporations Act or the Taxation Administration Act and this Policy you must meet all three of the following requirements:

- be an 'eligible whistleblower' (as set out in section 5 of this Policy);
- disclose a 'disclosable matter' (as set out in section 6 of this Policy); and
- make a disclosure to an 'eligible recipient' (as set out in section 7 of this Policy).

A whistleblower who has reasonable grounds to suspect a disclosable matter has occurred can also qualify for protection even if the disclosure turns out to be incorrect. The protections available to eligible disclosers under this Policy and the Corporations Act or the Taxation Administration Act are set out below and in the Annexure.

### ***Identity protection and confidentiality***

Lochard Energy has legal obligations to protect the confidentiality of a whistleblower's identity. It is illegal for a person to disclose the identity of a discloser of information that is likely to lead to the identification of a discloser which the person has obtained directly or indirectly because of the disclosure (other than in the circumstances below).

Lochard Energy is permitted to disclose information about a disclosed matter without the discloser's consent, provided that:

- all reasonable steps have been taken to reduce the risk that the whistleblower will be identified;
- it is reasonably necessary for investigating the issues raised in the disclosure; and
- it does not include the whistleblower's identity.

Lochard Energy can only disclose the identity of a whistleblower or information that is likely to lead to the identification of the whistleblower:

- if the whistleblower consents;
- to ASIC or the Australian Federal Police; or
- to a lawyer for the purposes of obtaining legal advice about the Corporations Act or the Taxation Administration Act whistleblower protections.

Any whistleblower should be aware that, in practice, people may be able to guess your identity if you have previously mentioned to other people that you are considering making a disclosure, you are one of a very small number of people with access to the information, or your disclosure relates to information that you have previously been told privately and in confidence.

Further details on the measures and mechanisms for protecting the confidentiality of a whistleblower's identity are set out in the Annexure.

### ***Protection against detrimental conduct***

Lochard Energy will do everything reasonably possible or appropriate to support and protect anyone from detrimental conduct who:

- intends to or actually makes a disclosure of disclosable conduct under this Policy;
- is mentioned in a disclosure;
- is the subject of a disclosure;
- acts as a witness; or
- otherwise assists with the investigation and resolution of the disclosure.

Examples of detrimental conduct that are prohibited in this context include (but are not limited to):

- dismissal of an employee;
- alteration of an employee's position or duties to his or her disadvantage;
- discrimination;
- damage to a person's property;
- harassment or intimidation of a person;
- harm or injury to a person, including psychological harm;
- damage to a person's business, financial position or reputation.



Examples of actions that are **not** detrimental conduct include (but are not limited to):

- administrative action that is reasonable for the purpose of protecting a whistleblower from detriment (e.g. moving a whistleblower who has made a disclosure about their immediate work area to another work area to prevent them from detriment); and
- managing a whistleblower's unsatisfactory work performance if the action is in line with the organisation's performance management framework.

Further information on how Lochard Energy assesses and controls the risk of detriment is set out in the Annexure.

Lochard Energy encourages whistleblowers to seek independent legal advice or contact regulatory bodies, such as ASIC or the ATO, in relation to any aspect of a disclosure including if they believe they have suffered detriment.

### ***Compensation and other remedies***

Under the Corporations Act and the Taxation Administration Act, a whistleblower (or other employee or person) can seek compensation and other remedies through the courts if they suffer loss, damage or injury because of a disclosure and Lochard Energy failed to take reasonable precautions and exercise due diligence to prevent the detrimental conduct.

### ***Protection against civil, criminal and administrative liability***

Under the Corporations Act and the Taxation Administration Act, 'eligible whistleblowers' who report 'disclosable matters' are protected from civil, criminal and administrative liability in relation to the disclosure. This means they cannot be subject to any legal action against them for breach of an employment contract, duty of confidentiality or other contractual obligation, criminal action (for example, for unlawfully releasing information), or disciplinary action for making the disclosure. These protections, however, do not grant immunity for any misconduct a whistleblower has engaged in that is revealed in their disclosure.

## **10. PRACTICAL SUPPORT FOR WHISTLEBLOWERS**

If necessary or appropriate, Lochard Energy will appoint a Protection Officer to arrange or coordinate support and protection for any whistleblower who has or is in the process of making a disclosure.

A whistleblower is encouraged to contact the GM People & Safety or Your Call to discuss how a Protection Officer may be able to provide support and protection.

The Protection Officer is appointed by Lochard Energy to:

- assess the immediate welfare and protection needs of a whistleblower;
- safeguard the interests, identity and confidentiality of a whistleblower in accordance with this Policy and the Corporations Act or the Taxation Administration Act; and

- address any issues or concerns of detrimental conduct.

Lochard Energy may appoint a person from within the organisation or a third party to be the Protection Officer.

## 11. HANDLING AND INVESTIGATING A DISCLOSURE

The Disclosure Officers have been appointed by Lochard Energy to receive the disclosure directly from you (if you make an internal disclosure) or from Your Call.

### ***Initial handling of a disclosure***

Disclosure Officers will:

- carefully assess the information provided to determine whether it qualifies for protection under this Policy and the Corporations Act or the Taxation Administration Act and whether a formal, in-depth investigation is required;
- keep the information provided confidential and keep appropriate records and documentation for each step after a disclosure;
- coordinate and oversee the investigation if an investigator is appointed;
- appoint a Protection Officer if necessary or appropriate;
- advise the whistleblower (through Your Call where anonymity is requested) of the progress of the matter to the extent it is legally permissible and appropriate to do so;
- take all reasonable steps to ensure fair treatment for the whistleblower and to help ensure the identity of the whistleblower and the person/s who is the subject of the disclosure are kept confidential.

### ***Investigation of a disclosure***

If the Disclosure Officers consider an investigation to be appropriate, the Disclosure Officers will determine the appropriate investigation process, including:

- the nature and scope of the investigation;
- who will conduct the investigation and whether that person should be external to Lochard Energy;
- the nature of any technical, financial or legal advice that may be required to support the investigation; and
- a timeframe for the investigation.

The process for investigating disclosures may vary depending on the nature of the disclosure.

In some cases, Lochard Energy may not be able to undertake an investigation if it is unable to contact the whistleblower (for example, if the disclosure is made anonymously to Your Call and

the whistleblower has chosen not to provide a means of contacting them) and insufficient information has been provided about the matter.

The investigation will be conducted in a constructive, fair and impartial way.

The investigator will:

- gather information, material and documentation concerning the disclosure as soon as reasonably practicable;
- act independently and focus on the substance of the disclosure;
- not assume that disclosures about conduct or behaviour that appear to have had a personal impact on a whistleblower are somehow less serious. The whistleblower's experience may indicate a larger or systemic issue;
- complete the investigation and provide a report of their findings as soon as reasonably practical.

Unless the whistleblower consents, Lochard Energy cannot disclose information that is likely to lead to disclosure of the identification of the whistleblower as part of the investigation process. Information about the matter is allowed to be disclosed where the information does not include the whistleblower's identity, Lochard Energy removes identifying details from the information, and it is reasonably necessary for investigating the issues raised in the disclosure.

### ***Investigator's report***

At the conclusion of the investigation, the investigator will provide a written report (bearing in mind any obligations of confidentiality) including:

- a finding of all relevant facts;
- whether the disclosure is substantiated, not substantiated or otherwise; and
- recommendation/s, when requested to do so, as to any action that may be taken in respect of the findings.

Lochard Energy will use the report to determine the action (if any) to be taken, including any disciplinary action. The findings will be communicated to the relevant parties involved to the extent that it is appropriate to do so.

### ***Will the whistleblower be kept informed?***

A whistleblower will be provided with updates on the investigation, if the whistleblower can be contacted (including through anonymous channels). The frequency and timeframe for updates may vary depending on the nature of the disclosure and the need to protect the identity of the whistleblower.

In general, Lochard Energy will acknowledge a whistleblower after receiving the disclosure and, subject to confidentiality, privacy and other legal requirements, the whistleblower will be kept informed of:

- when the investigation process has begun;

- relevant progress of the investigation; and
- the outcome of the investigation.

### ***What happens if the misconduct is substantiated?***

If the misconduct is substantiated, Lochard Energy will decide what action to take, including disciplinary action up to dismissal of the wrongdoer. The disciplinary action will depend on the severity, nature and circumstance of the misconduct.

### ***Avenues for review***

A whistleblower may request a review of the investigation findings if the whistleblower is not satisfied with the outcome. If that request is granted, the review will be conducted by an LMT member or officer or a third party who is not involved in handling and investigating disclosures.

Lochard Energy is not obliged to reopen an investigation if it finds that the investigation was conducted properly, or new information is either not available or would not change the findings of the investigation.

## **12. ENSURING FAIR TREATMENT OF INDIVIDUALS MENTIONED IN A DISCLOSURE**

Lochard Energy is committed to ensuring the fair treatment of employees mentioned in a disclosure that qualifies for protection, including those who are the subject of a disclosure.

The measures that Lochard Energy will take to achieve this objective include:

- handling all disclosures confidentially to the greatest extent possible in the circumstances;
- ensuring that all disclosures are assessed as quickly as possible having regard to the nature and circumstances of the disclosure; and
- carrying out an objective, fair and independent investigation (where an investigation is warranted) to determine whether the matter reported can be substantiated.

A person who is the subject of a disclosure will be informed about the disclosure and any resulting investigation at the most appropriate time, as determined by Lochard Energy, having regard to all the relevant circumstances, but in any event, before any adverse finding is made against them.

A person who is the subject of a disclosure may wish to seek support by contacting Lochard Energy's Employee Assistance Program (EAP) provider (Converge International on 1300 687 327).

### **13. MAKING THE POLICY EASILY ACCESSIBLE**

Lochard Energy makes this Policy available to eligible whistleblowers by:

- posting the Policy on the Lochard Energy intranet and publicly available company website;
- making it available to all employees as part of their employment information; and
- incorporating the Policy in employee induction information packs and training for new starters.

### **14. TRAINING AND EDUCATION**

The General Manager, People, Safety & Sustainability will be responsible for conducting initial education and training on this Policy to new starters. Regular training updates will also be provided for all staff, including all levels of management. Lochard Energy also encourages all staff and management to discuss and promote the Policy to help protect and support whistleblowers, foster an open culture and help detect and address wrongdoing. 'Eligible recipients' will receive more specialised and targeted training in relation to their roles and responsibilities.

### **15. REVIEW AND UPDATES OF THIS POLICY**

The General Counsel may review and vary this Policy and associated processes and procedures from time to time, and in any event will review the Policy no less than every two years, to ensure it meets Lochard Energy's objectives. Lochard Energy welcomes any feedback on this policy from any staff member or eligible whistleblower. Feedback can be provided to the General Manager, People, Safety & Sustainability or General Counsel (details above).

Any updated version of this Policy will be made known to employees and officers of Lochard Energy by posting an updated version of the Policy on the intranet and publicly available website and providing additional training when necessary.

## 16. ANNEXURE – FURTHER INFORMATION

### SECTION 7 – HOW AND TO WHOM TO MAKE A DISCLOSURE UNDER THIS POLICY

#### C. Making a disclosure to other external parties

In certain limited public interest and emergency situations, disclosures made to a journalist or parliamentarian can also receive protection under this Policy and the Corporations Act.

It is important that the whistleblower understands the criteria for making a public interest or emergency disclosure, including that the disclosure must have first been raised with ASIC or another regulatory body, that timing requirements apply, and that written notice of the impending disclosure be given to Lochard Energy.

A whistleblower should contact an independent legal adviser before making a public interest or emergency disclosure. If a whistleblower does not follow appropriate procedure, the disclosure may not be protected by this Policy or the Corporations Act. Further information is outlined in a) and b) below.

##### a) Concerning public interest disclosures

You may make a disclosure in the public interest to a member of the Parliament of the Commonwealth, the Parliament of a State or the legislature of a Territory or a journalist if:

1. you have previously made a disclosure of that misconduct, and
2. at least 90 days have passed since the previous disclosure was made; and
3. you do not have reasonable grounds to believe that action is being, or has been, taken to address the misconduct to which the previous disclosure related; and
4. you have reasonable grounds to believe that making a further disclosure of the misconduct would be in the public interest; and
5. after the end of the 90-day period you give the person to whom you made the previous disclosure a written notification that:
  - includes sufficient information to identify the previous disclosure; and
  - state that you intend to make a public interest disclosure; and
6. the public interest disclosure is made to:
  - a member of the Parliament of the Commonwealth, the Parliament of a State or the legislature of a Territory; or
  - a journalist; and
7. the extent of the information disclosed in the public interest disclosure is no greater than is necessary to inform the recipient of the misconduct or the improper state of affairs or circumstances.

## **b) Concerning emergency disclosures**

You may also make an emergency disclosure to a member of the Parliament of the Commonwealth, the Parliament of a State or the legislature of a Territory or a journalist if:

1. you previously made a disclosure that qualifies for protection under the Corporations Act (Part 9.4 under subsection 1317AA (1); and
2. you have reasonable grounds to believe that the information concerns a substantial and imminent danger to the health or safety of one or more persons or to the natural environment; and
3. you give the body to which the previous disclosure was made a written notification that:
  - includes sufficient information to identify the previous disclosure; and
  - state that you intend to make an emergency disclosure; and
4. the emergency disclosure is made to:
  - a member of the Parliament of the Commonwealth, the Parliament of a State or the legislature of a Territory; or
  - a journalist; and
5. the extent of the information disclosed in the emergency disclosure is no greater than is
6. necessary to inform the recipient of the substantial and imminent danger.

## **SECTION 9 – IDENTITY PROTECTION AND PROTECTION AGAINST DETRIMENT**

### **Measures and mechanisms for protecting the confidentiality of a whistleblower's identity**

Lochard Energy has in place the following measures and mechanisms for protecting the confidentiality of a whistleblower's identity:

### **Reducing the risk that the whistleblower will be identified from the information contained in a disclosure**

- all personal information or reference to the whistleblower witnessing an event will be redacted
- the whistleblower will be referred to in a gender-neutral context
- where possible, the whistleblower will be contacted to help identify certain aspects of their disclosure that could inadvertently identify them
- disclosures will be handled and investigated by appropriately trained staff or officers

## **Secure record-keeping and information-sharing processes**

- all paper and electronic documents and other materials relating to disclosures will be stored securely
- access to all information relating to a disclosure will be limited to those directly involved in managing and investigating the disclosure
- only a restricted number of people who are directly involved in handling and investigating a disclosure will be made aware of a whistleblower's identity (subject to the whistleblower's consent) or information that is likely to lead to the identification of the whistleblower
- communications and documents relating to the investigation of a disclosure will not be sent to an email address or printed in a way that is accessible by other staff; and
- each person who is involved in handling and investigating a disclosure will be reminded about the confidentiality requirements, including that an unauthorised disclosure of a whistleblower's identity may be a criminal offence.

You can lodge a complaint with Lochard Energy if you believe a breach of your confidentiality as a whistleblower has occurred by contacting the GM People, Safety & Sustainability or General Counsel. You can also lodge a complaint with a regulator including ASIC or the ATO if you believe a breach of your confidentiality as a whistleblower has occurred. You may also be eligible to claim compensation and remedies under the Corporations Act or the Taxation Administration Act.

## **Measures and mechanisms for protecting whistleblowers from detriment**

Lochard Energy has in place the following measures and mechanisms to protect whistleblowers from detriment:

- processes for assessing the risk of detriment against a whistleblower and other persons (e.g. other staff who might be suspected to have made a disclosure), which will commence as soon as possible after receiving a disclosure;
- support services (including counselling or other professional or legal services) that are available to whistleblowers. If you are an employee, you may like to use the Employee Assistance Program ("EAP"). The EAP provides you with free help from experienced counsellors, psychologists and social workers. Lochard Energy's EAP provider is Converge International and can be contacted by calling 1300 687 327. Further information is available on the intranet;
- strategies to help a whistleblower minimise and manage stress, time or performance impacts, or other challenges resulting from the disclosure or its investigation;
- actions for protecting a whistleblower from risk of detriment—for example, we may allow the whistleblower to perform their duties from another location, reassign the whistleblower to another role at the same level, make other modifications to the whistleblower's workplace or the way they perform their work duties, or reassign or relocate other staff involved in the disclosable matter;
- processes for ensuring that management are aware of their responsibilities to maintain the confidentiality of a disclosure, address the risks of isolation or harassment, manage



conflicts, and ensure fairness when managing the performance of, or taking other management action relating to, a whistleblower;

- procedures on how a whistleblower can lodge a complaint if they have suffered detriment, and the actions we may take in response to such complaints; and
- interventions for protecting a whistleblower if detriment has already occurred— for example, we may investigate and address the detrimental conduct, such as by taking disciplinary action, or we may allow the whistleblower to take extended leave, develop a career development plan for the whistleblower that includes new training and career opportunities, or offer compensation or other remedies.

Lochard Energy will thoroughly investigate reports of detrimental acts. If proven, those who have victimised another will be subject to management action including disciplinary action up to dismissal. It is also an offence/contravention under the Corporations Act and the Taxation Administration Act which carries serious penalties for individuals and companies.