

## 1. Introduction

The Cleanaway Waste Management Limited (**Cleanaway or Company**) Code of Conduct, policies and procedures have been developed to ensure high standards of conduct and ethical behaviour in all of Cleanaway's business activities. Cleanaway's Executive Committee and Board are committed to preventing and detecting deviations from the Code of Conduct, our Values, policies and procedures. To assist in detecting deviations, Cleanaway has implemented a fully independent Whistleblower service called FairCall.

This Whistleblower Policy (**Policy**) has been adopted to ensure that employees and stakeholders can raise concerns anonymously regarding any actual or suspected contravention of our group Code of Conduct, policies, procedures and non-adherence to applicable Laws and Regulations without fear of reprisal or feeling threatened by doing so.

This Policy aims to:

- encourage employees and stakeholders to report an issue if they genuinely believe someone has contravened our Code of Conduct, policies or the law;
- highlight that Cleanaway takes these matters seriously and will investigate all reported misconduct or unethical behaviour; and
- assist in ensuring that serious misconduct or unethical behaviour is identified, and appropriate action taken should the allegations be proven.

## 2. Who does this policy apply to?

This Policy applies to any former or current:

- Employees and officers of Cleanaway;
- Contractors and suppliers of Cleanaway, and their employees;
- An individual who is an associate of Cleanaway; and
- Dependants (eg. spouse) and relatives of any of the above.

## 3. What can I report and who can I report to?

You can whistleblow and obtain the protection under the *Corporations Act 2001* (**Corporations Act**) if you have reasonable grounds to suspect that there has been a breach of the following by the Company or any of its officers or employees:

- Corporations Act and other specified Acts (for example, insider trading, illegal conflicts of interest, misuse of confidential information, misleading disclosure, anti-competitive behaviour);
- An offence against a Commonwealth law, punishable by imprisonment of at least 12 months (for example, money laundering, tax evasion);
- Conduct that is a danger to the public (for example, health and safety policy breaches, uncontrolled discharge of toxic chemicals, illegal dumping); or

- Any misconduct or improper circumstances (for example, giving or taking bribes).

To obtain the protections under the Corporations Act, you need to disclose and report the matter to one of the following recipients (**Eligible Recipients**):

- An officer (i.e. Directors and Company Secretaries) of Cleanaway or a member of Executive Committee;
- The external auditor or an external audit team member who is conducting an audit of Cleanaway; or
- FairCall – further details are set out in Section 5 of this Policy;

In certain circumstances, a protected disclosure may be made to a legal practitioner, a journalist, a parliamentarian, the Australian Securities & Investments Commission (ASIC) or other prescribed Commonwealth bodies.

There are no requirements to reveal your identity when making a report to an Eligible Recipient i.e. you can remain anonymous.

#### **4. Personal work-related grievances**

If you have a personal work-related grievance (eg issue arising from a performance management process, an interpersonal conflict between you and another employee, disagreement about the terms and conditions of your employment), generally speaking, you will not be given protections under the Corporations Act.

You should talk to your Supervisor or a HR Business Partner if you wish to raise or discuss any personal work-related grievances. If you feel that it would not be appropriate to talk to your Supervisor or a HR Business Partner in relation to a personal work-related grievance and would like to discuss how this policy applies, you should contact a member of the Legal or Company Secretarial team or the Head of Audit and Risk.

#### **5. What are the protections to whistleblowers?**

Some of the protections provided under the Corporations Act when the conditions in Section 3 are met, are:

- The whistleblower cannot be subject to legal liability or administrative liability (such as disciplinary action) for making the report;
- A termination of contract on the basis of a disclosure constitutes a breach of contract;
- Anyone who victimises or threatens the whistleblower is guilty of an offence and may be fined or liable for damages; and
- The person receiving the report commits an offence if they disclose the substance of the report or the whistleblower's identity, without the whistleblower's consent, to anyone except the Australian Securities and Investments Commission, the Australian Federal Police, the Australian Prudential Regulatory Authority, or a legal practitioner for the purposes of obtaining legal advice and representation.

#### **6. How do I make a report through FairCall?**

FairCall is an independent, 3<sup>rd</sup> party service provider which specialises in handling sensitive and confidential reports. You can make a report to FairCall by:

- Calling 1800 500 965 (Australia Toll-free number)
- Sending an email to faircall@kpmg.com.au
- Faxing the information to a secure fax number: 02-9335 7466
- Mailing the report or additional call information to a secure mailbox at the following address:

The FairCall Manager  
PO Box H67  
Australia Square  
Sydney NSW 1213 Australia

## **7. What happens after a report is made?**

Once a disclosure is made to an Eligible Recipient, a report will be which will then be provided to the Head of Audit and Risk, who will inform relevant members of the Executive Committee as required. The report will be reviewed by the relevant members of the Executive Committee. The report will not contain any information regarding the whistleblower's details or identity unless that person has expressly given their consent for their details or identity to be revealed.

Cleanaway will investigate all matters reported in accordance with this Policy as soon as practicable after the matter has been reported. If the report is not made on an anonymous basis, Cleanaway will provide feedback to the whistleblower about the status of the investigation and/or if further information is required.

Investigation processes will vary depending on the precise nature of the conduct being investigated. All investigations will be conducted independently, in a manner that is fair and objective to all people involved. For example, a report will not be investigated by someone who is implicated in the matter reported.

## **8. What happens to you as a Whistleblower?**

Cleanaway commits to maintain absolute confidentiality in all matters raised under this Policy.

Subject to law, your identity and the fact that you have made a report and the contents of the report will be kept confidential. No details of your participation in this process will be included in your personnel file or performance review. The report will not be disclosed to anyone except to those that are actively involved in investigating the matters raised in the report. A summary of the report, including outcomes, will be provided to Cleanaway's Audit and Risk Committee, however it will not include any details on the identity of the whistleblower nor will it contain information that could lead to the identification of the whistleblower.

You will not be discriminated against or disadvantaged in your employment with Cleanaway for making a report in accordance with this Policy. Cleanaway will implement procedures that are appropriate in the context of the report to ensure that any person that makes a report in accordance with this policy is protected from retaliation and victimisation. This protection applies if the matter is proven or not. Cleanaway will ensure fair treatment of employees who are mentioned in a report, or to whom such reports relate.

Whistleblowing is not about airing a personal work-related grievance. It's about reporting real or perceived misconduct or unethical behaviour. A report should not be made with the intention of damaging the career prospects or reputation of people who are the subject of serious allegations.

## 9. Seeking assistance

If you have any questions in relation to the application of this policy, please contact a member of the Legal and Company Secretarial team for guidance.

## 10. Access to this policy

This Policy will be available at all sites for display on common notice boards and is accessible on Cleanaway Portal and website.

This policy will be reviewed periodically, or as otherwise required.

**Reviewed and approved by the Board of Directors on 10 July 2019.**

### Version control table

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