

CORPOL-0013 – WHISTLEBLOWER POLICY

1. PURPOSE

BioCina is committed to operating legally (in accordance with applicable legislation and regulation), properly (in accordance with organisational policy and procedures), and ethically (in accordance with recognised ethical principles).

Employees are expected to cooperate with the Company in maintaining legal, proper, and ethical operations, if necessary, by reporting non-compliant actions up to the Chairman of the Board of Directors of BioCina.

This Policy encourages the reporting of corporate wrongdoing, unethical, illegal, or unsafe practices without fear of retaliation, fostering transparency, and accountability.

2. SCOPE

- 2.1 This Policy applies to all directors, officers and employees of BioCina and all subsidiaries, contractors, distributors, consultants, agents and other individuals or entities that are effectively controlled by BioCina or act on its behalf (either directly or indirectly).
- 2.2 It is the responsibility of all BioCina Employees to understand and comply with this Policy and to follow the reporting requirements set out in this Policy.
- 2.3 Senior Leadership Team (SLT) members of the respective sites are responsible for ensuring awareness throughout the facilities of the requirements of this Policy.
- 2.4 Any queries regarding the application of this Policy in any circumstance should be directed to your SLT members or the Human Resources Department.
- 2.5 Overall responsibility for the administration of this Policy, including the implementation and monitoring of the Policy, lies with the Human Resources Department.
- 2.6 This policy does not replace but supplements existing processes for dealing with workplace grievances and employee misconduct in relationship to CORPOL-0003 – Respect in the Workplace Policy, CORPOL-0007 - Investigations and Disciplinary Management Policy, and CORPOL-0009 – Grievances Policy and Procedure.

3. DEFINITIONS

<i>“Company”</i>	BioCina Perth and BioCina Adelaide, collectively known as “BioCina” in this Policy.
<i>“Potential Misconduct”</i>	Illegal or corrupt behaviours that breaches of general law, BioCina Code of Conduct, or generally recognised principles of ethics include: <ul style="list-style-type: none">▪ Corrupt conduct▪ Fraud or theft▪ Official misconduct▪ Maladministration▪ Harassment or unlawful discrimination▪ Practices endangering the health or safety of staff, volunteers, or the general public▪ Practices endangering the environment

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“Procedural Fairness”	means acting fairly in administrative decision making. Procedural fairness is concerned with the procedures used by a decision maker, rather than the actual outcome reached. It requires a fair and proper procedure be used when making a decision.
“retaliation”	Any adverse action taken against a whistleblower, such as demotion, dismissal, reduction in duties, threats, or other discriminatory measures.
“whistleblowing”	is the act of exposing any illegal, improper or unethical conduct within an organisation so that it can be addressed.
“whistleblower”	is a person, an employee, contractor (and their employees), consultant, or the Board Director who makes, attempts to make, or wishes to make a report in connection with reportable conduct and wishes to avail themselves of protection against reprisal for having made the report.
“WPO”	Whistleblower Protection Officer appointed by BioCina

4. PRINCIPLES

4.1 What is Whistleblowing?

Whistleblowing is reporting through an appropriate channel describe in this Policy if you have reasonable grounds to suspect that Potential Misconduct has occurred or is occurring in relation to the Company. If you are an eligible whistleblower, you will qualify for legal protections.

4.2 Why Whistleblowing is important?

A whistleblower reporting unethical conduct may help to:

- Stop the conduct or bring it to the attention of people who can stop it.
- Prevent disadvantage to other people or the Company from the conduct.
- Prevent danger to health and safety or damage to the environment.
- Create an opportunity to implement better work procedures to prevent wrongdoing or maladministration in the future.
- Bring to account the people responsible for the conduct.

All disclosures will be treated seriously and investigated promptly.

4.3 Who can be a Whistleblower?

A whistleblower should have legal, ethical, or operational reasons to suspect there may be a breach of law or risk of danger to the public and make any disclosure in good faith.

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Under the Corporations Act 2001 (Corporations Act), a person is recognised and protected as a whistleblower if they meet several criteria. The Australian Securities and Investments Commission (ASIC) has summarised these criteria as follows:

Criteria	Table 1 – Requirement
Your role	<p>You must be:</p> <ul style="list-style-type: none"> ▪ A current or former officer (usually that means a director or secretary) of the company or organisation your disclosure is about, ▪ A current or former employee of the company or organisation your disclosure is about, or ▪ A current or former contractor, or the employee of a contractor, who has a current contract to supply goods or services (regardless of whether they are paid for doing so) to the company or organisation your disclosure is about, or ▪ A spouse, relative or dependant of one of the people referred above.
Who the disclosure is made to	<p>You must make your disclosure to:</p> <ul style="list-style-type: none"> ▪ An auditor, or a member of the audit team of the company or organisation, ▪ A director, company secretary or senior manager of the company or organisation, ▪ A person authorised by the company or organisation to receive whistleblower disclosures, or ▪ The Australian Securities and Investments Commission (ASIC)
Reasonable grounds to suspect breach	<p>You must have reasonable grounds to suspect that the information you are disclosing indicates that the company or organisation, or an officer or employee of the company or organisation, may have breached the Corporations Act or the Australian Securities and Investments Commission Act 2001 (ASIC Act) or represents a danger to the public or the financial system.</p>
Made in good faith	<p>You must make the disclosure in ‘good faith’. That means your disclosure must be honest and genuine, and motivated by wanting to disclose misconduct. Your disclosure will not be ‘in good faith’ if you have any other secret or unrelated reason for making the disclosure.</p>

4.4 What protections exist for a whistleblower?

The Australian *Corporations Act 2001* (Corporations Act) contains certain protections for whistleblowers who meet the criteria in Table 1 above:

- Protection of information provided by whistleblowers – the ‘protected disclosure’ and the whistleblower’s identity must be kept confidential unless the disclosure is authorised by law.
- Protections for whistleblowers against civil or criminal litigation – this includes protection against breach of contract and allows for reinstatement if the whistleblower’s employment was terminated for making a protected disclosure.
- Protections for whistleblowers from victimisation – a whistleblower can claim compensation for damage suffered from being victimised because they made a protected disclosure.

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These protections are designed to encourage people within companies, or with special connections to companies, to alert the company (through its officers), or the Australian Securities & Investments Commission (ASIC), to illegal behaviour.

In addition to the protections provided under the Corporations Act, limited protection is available to BioCina whistleblowers under respective State's Work Health and Safety (WHS) or Occupational Health and Safety (OHS) legislation (protection from retaliatory action for raising work health and safety issues).

BioCina is committed to protect whistleblowers from reprisal and encourages people to come forward and alert others to any wrongdoing.

5. CONFIDENTIALITY

The Australian *Privacy Act 1988* includes Australian Privacy Principles (APP's) which are an important aspect to how a company handles sensitive data and transmits it internationally including confirmation that international data repositories also comply with Australian legislative requirements. These principles and how they apply to Whistleblower data are outlined below.

i) Restricted Access

- Only staff with a "need to know" should access whistleblower data.
- Use role-based access controls (RBAC).

ii) Segregation of Information

Store whistleblower data separately from HR records, disciplinary files, performance systems and incident management tools.

iii) Encrypted Channels

- Encrypted inboxes.
- End-to-end encrypted web portals if provided.

iv) Secure Storage

In Australia there is a requirement under APP 11 to have reasonable security safeguards.

v) Anonymity Options

- Anonymous reports.
- Ability to request follow-up while remaining anonymous (via secure portals).

vi) Minimal Data Collection

Collect only what is needed to investigate:

- No unnecessary personal data.
- No sensitive or special-category data unless essential.

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6. REPORTING PROCEDURE

6.1 How to make a report?

BioCina has both informal and formal ways in which concerns can be raised depending on your circumstances and the level of seriousness of the issue.

Reporting Pathways

You can raise concerns through any of the following options, including our independent external reporting service, Emverio. Emverio can receive anonymous complaints and will not disclose any identifying information without your consent. We encourage you to choose the pathway that feels safest and most appropriate for you.

i) If you are comfortable, you are encouraged to raise a concern informally with your direct supervisor, manager or appropriate Adelaide or Perth Senior Leadership Team members.

ii) You can also report suspected Illegal or Corrupt Behaviour to BioCina’s Chief Financial Officer (CFO):
By Mail (Marked “Strictly Confidential”):

To: **The Chief Financial Officer of BioCina**
8 Dagleish Street, Thebarton SA5031 (if you reside in Adelaide) or
15 rodie-Hall Drive, Bentley, WA6102 (if you reside in Perth)

iii) **Emverio** (our external reporting partner)

Phone: **1300 454 574**

Email: **complain@workplacecomplaints.com**

Form: **<https://emverio.snapforms.com.au/form/emverio-online-whistleblowing-complaint-form>**

This independent company allows BioCina employees as well as those who do business with or otherwise interact with the company to share concerns or incidents, while being anonymous to BioCina, if desired.

Below are the different levels of self-identification available when reporting a concern using BioCina’s Helpline:

- Remain completely anonymous: You will not reveal your name or contact information to the independent third-party vendor or to BioCina.
- Remain anonymous to BioCina: You can choose to reveal your name and contact information to the independent third-party vendor, but not to BioCina.
- This option allows the vendor to contact you confidentially to gather additional information about the report, without revealing your name or contact information to BioCina.
- Share my name and contact information: If you are comfortable revealing your name and contact information, you can provide both to BioCina and to the independent third-party vendor.

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6.2 Can I Report a Concern Anonymously?

The Company encourages the reporting of Potential Misconduct, however, we appreciate that making a report can be difficult. You can make an anonymous report if you do not want to reveal your identity. However, we encourage you to provide your name because it will make it easier to investigate and address your report.

6.3 How will the Company respond to a report?

i) Review of the Allegations

On receiving a report of a breach, the person to whom the disclosure is made shall:

- If they believe the behaviour complained of to be unquestionably trivial or fanciful, dismiss the allegation and notify the person making the allegation of their decision,
- If they believe the behaviour complained of to be neither trivial nor fanciful, put in motion the investigation process described below.

The person to whom the disclosure was made shall notify the WPO, who shall be responsible for ensuring that an investigation of the charges is established and adequately resourced and/or will refer the allegations to a nominated person or office external to BioCina to undertake investigations or provide advice to any internal investigation.

If the issue being alleged relates to the officer holding the position of WPO, the allegations should be directed to a nominated person or office independent of BioCina, or if there is not one to the CEO.

ii) Investigation Process

- The Terms of Reference for the investigation will be drawn up, in consultation with the CEO, to clarify the key issues to be investigated.
- An investigation plan will be developed to ensure all relevant questions are addressed, the scale of the investigation is in proportion to the seriousness of the allegation(s) and sufficient resources are allocated.
- The investigation will be conducted independently of any person who is the subject of the disclosure and will be undertaken in a timely manner.
- Strict security will be maintained during the investigative process. All information obtained will be properly secured to prevent unauthorised access.
- All relevant witnesses will be interviewed and documents examined. Contemporaneous notes of all discussions, phone calls and interviews will be made. Where possible, interviews will be taped, with consent.
- The principles of procedural fairness (natural justice) will be observed. Where adverse comment about a person is likely to be included in a report, the person affected will be given an opportunity to comment beforehand and any comments will be considered before the report is finalised.
- The person or persons conducting the investigation shall be as far as possible unbiased.

BioCina may appoint a person or office independent of BioCina to undertake investigations or provide advice to any internal investigation.

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A report will be prepared when an investigation is complete. This report will include:

- The allegations,
- A statement of all relevant findings of fact and the evidence relied upon in reaching any conclusions,
- The conclusions reached (including the damage caused, if any, and the impact on the organisation and other affected parties) and their basis,
- Recommendations based on those conclusions to address any wrongdoing identified and any other matters arising during the investigation.

A report will be provided to the BioCina's Board or its authorised delegate.

Any findings of the investigation related to criminal activity will be reported to the police and/or regulators.

iv) Information to Informant

Subject to considerations of the privacy of those against whom the allegations are made, the whistleblower will be kept informed of:

- Relevant progress of an investigation,
- Relevant outcomes of an investigation.

The complainant will not receive a copy of the formal report.

v) Protection and Support of Informant (Whistleblower)

The WPO shall designate an officer to be responsible for ensuring that the person who has made the allegation in good faith on reasonable grounds suffers no employment related disadvantage on account of their actions in this matter.

This includes (but is not limited to) protection from:

- Termination of employment;
- Disciplinary action;
- Performance management;
- Bullying or harassment; or
- Unlawful discrimination

BioCina recognises that making a disclosure as a whistleblower can be stressful. If a person who makes a disclosure is an employee of BioCina, they may access BioCina's Employee Assistance Program (EAP) and may also request additional support.

While BioCina may not be able to provide the same level of counselling support to other whistleblowers, BioCina will look at ways to provide support to the extent reasonably possible.

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vi) Protection of files and records

All files and records created from an investigation will be securely retained.

vii) Assistance for Accused

BioCina has an obligation to all parties including the person accused of wrongdoing. The WPO shall designate an officer to be responsible for ensuring that the person accused is advised where they can access BioCina’s Employee Assistance Program.

viii) Training

The Whistleblower Protection Officer will ensure staff are familiar with this policy and procedures and complete whistleblowing awareness training.

Training must cover three key areas:

- how to raise a concern,
- how staff will be protected and
- how the concern will be dealt with.

7. POLICY REVIEW

The Policy will be reviewed every two years to assess its effectiveness and continued relevance. It may also be amended periodically as necessary to ensure it remains appropriate and up to date.

8. BREACH OF POLICY

Breach of the policy may be regarded as misconduct, which may lead to disciplinary action. In particular, any breach of confidentiality of the information provided by a whistleblower, or a whistleblower’s identity, and any retaliation against a whistleblower, will be taken seriously and if appropriate will be separately investigated by BioCina.

An individual who is found to have disclosed the information or to have retaliated (or threatened to retaliate) against a whistleblower may be subject to further action, including disciplinary action in the case of employees.

9. VERSION CONTROL

Version	Section Amended	Amendment	Author
1.0	N/A	New Document	Christina Yung/Scott Dassira