



WHISTLEBLOWER POLICY

ATHLETICS AUSTRALIA LIMITED

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1. INTRODUCTION

Athletics Australia Limited (**AA**) is committed to a culture of high integrity and ethical behaviour in fulfilling its responsibilities to its members and stakeholders and to comply with the *Corporations Act 2001* (Cth) in all its operations and interactions.

2. PURPOSE

The purpose of this policy is to encourage the reporting of serious conduct or wrongdoing that is of legitimate concern to AA (**Reportable Conduct**), by providing a convenient and safe reporting mechanism that ensures protection for anyone who makes a disclosure.

This policy defines who can make a protected disclosure (**Whistleblower**), identifies who can receive a protected disclosure (**Eligible Recipient**) and establishes a process for Whistleblowers to make a protected disclosure (**Report**) and a corresponding process for AA to address reports from Whistleblowers. Any person who raises a concern and makes a disclosure of a serious nature (for example unethical, illegal, corrupt or other inappropriate conduct) should not be subject to victimisation, harassment or discriminatory treatment. This policy sets out the avenues available to Whistleblowers to report serious wrongdoing to AA and how AA will deal with any such reports.

Reportable Conduct does not include personal work-related grievances. Personal work-related grievances include but are not limited to interpersonal conflicts between the Whistleblower and another employee, or a decision relating to the engagement, transfer or promotion of the Whistleblower. Such grievances should be addressed by the appropriate MA CEO, AA General Manager or the AA CEO under the provisions of the relevant Employment Agreement and the *Fair Work Act 2009* (Cth). All conflicts between members and or participants of the sport of Athletics should be first dealt with under the Member Protection Policy and or the Code of Conduct.

3. SCOPE

This policy applies to the following Athletics Australia and Member Associations (**MA**) types of people and Whistleblowers:

- (a) Current and former employees;
- (b) Current and former Directors;
- (c) Members
- (d) Volunteers;
- (e) Contractors (including employees of contractors);
- (f) Consultants; and
- (g) Suppliers.

AA and MAs must make this policy available in an accessible format to all AA and MA employees and AA and MA Directors including by ensuring it is posted on AA and MAs' websites.

Any Reportable Conduct or Whistleblowing relating to an Australian Team member will fall under the Athletics Australia Member Protection Policy which sets out the applicable procedures.

4. REPORTABLE CONDUCT

Any conduct or wrongdoing that is genuinely believed to be in breach of the law or any rule, code or policy of AA should be reported in accordance with this policy.

Reportable Conduct includes, but is not limited to, any conduct that involves:

- (a) illegal activities (including but not limited to theft, dealing in or use of illicit drugs, violence, harassment, intimidation or threatened violence and criminal damage against property);
- (b) dishonest behaviour;
- (c) fraudulent or corrupt activity, including financial fraud or bribery;
- (d) perverting the course of justice;
- (e) unlawful, corrupt or irregular use of company funds or practices;
- (f) unethical behaviour, including anything that would breach AA's Code of Conduct which includes any form of discrimination, harassment or bullying;
- (g) improper or misleading accounting or financial reporting practices;
- (h) a breach of any legislation relating to AA's operations or activities;
- (i) behaviour that is oppressive, unjust, discriminatory or grossly negligent (including gross mismanagement, serious or substantial waste of AA's resources or repeated breaches of administrative procedures);
- (j) any behaviour that poses a serious risk to the health and safety of any person at the workplace;
- (k) a serious risk to public health, public safety or the environment;
- (l) an improper state of affairs in relation to AA or MAs;
- (m) any other conduct which may cause loss to AA or MAs or be otherwise detrimental to the interests of AA or MAs or any of its employees; and
- (n) the deliberate concealment of information tending to show any of the conduct listed above.

5. RESPONSIBILITY TO REPORT

It is expected that any person becoming aware of any Reportable Conduct will notify the appropriate personnel as per this policy in order to maintain AA's integrity and ethical behaviour.

A Whistleblower must provide information to assist in any inquiry or investigation of the conduct disclosed.

6. PROTECTION OF WHISTLEBLOWERS

AA will take all reasonable steps to ensure that a legitimate Whistleblower will not be subject to any form of victimisation, discrimination, harassment, demotion, dismissal,

threats or prejudice because they have made a Report, even if the disclosure is subsequently determined to be incorrect or is not substantiated. This also applies to anyone providing information related to an investigation under this policy.

AA will take all reasonable steps to protect the identity of a Whistleblower and will adhere to statutory requirements in respect of the confidentiality of Reports made. In appropriate cases, disclosure of the identity of a Whistleblower or the allegation made may be unavoidable, such as if court proceedings result from a Report pursuant to this policy.

This policy will not protect a Whistleblower if they are also involved in, or connected with, the misconduct or wrongdoing reported.

6.1 Reporting on Reasonable Grounds

A Report may have serious consequences, including potential damage to the career prospects and reputation of people who are the subject of allegations of misconduct or wrongdoing. Therefore, it is very important that those who make a report under this policy do so with reasonable grounds for believing that the information is correct or likely to be correct.

A Report should not be made on grounds that could reasonably be considered to be frivolous, vexatious, raised for a malicious reason or made for personal gain or an ulterior motive. A Report should be based on facts and/or circumstances that provide a reasonable basis for the report.

6.2 Anonymous Reporting

A Report can be made anonymously, however it may be difficult for the matter to be properly investigated without the Whistleblower's identity. If further legal action is taken on the reported matter, it may become necessary for a Whistleblower to identify themselves. If the Whistleblower wishes to benefit from statutory protections provided under the *Corporations Act 2001 (Cth)*, they may have to disclose their name. In these instances, AA will continue to take all reasonable steps to protect the Whistleblower from any possible reprisal, however Whistleblowers are encouraged to provide their identity to enable a robust process to be undertaken.

7. PROCEDURES

7.1 Making a Report to an Eligible Recipient

Any AA or MA employee who has reasonable grounds to suspect that Reportable Conduct has occurred or is likely to have occurred is encouraged to first discuss the matter informally with their direct line manager or other person to whom they report. Other people to whom this policy applies should do so with any of the Eligible Recipients identified below. The purpose of the informal discussion should be to clarify if Reportable Conduct has occurred or is likely to have occurred. At all times, these discussions must remain confidential.

If this is not considered appropriate, or the conduct has already been confirmed as Reportable Conduct, a Report should be made to an Eligible Recipient.

An Eligible Recipient is the:

- (a) AA CEO; or

- (b) AA President;
- (c) the Chair of the AA Ethics and Integrity Committee; or
- (d) Manager- Legal and Governance (or equivalent).

Reports should be made to the AA CEO and Manager- Legal and Governance. If the Report involves the CEO or an AA Director, then the matter should be reported to the AA President. If the Report involves the President, it should be reported to the Chair of the Ethics and Integrity Committee.

Where possible, a Report of Reportable Conduct should be in writing and should contain, as appropriate, details of the:

- (a) nature of the alleged breach;
- (b) persons or persons believed to be responsible for the breach;
- (c) facts on which the Whistleblower's belief that a breach has occurred are based; and
- (d) nature and whereabouts of any further evidence that may substantiate the Whistleblower's allegations, if applicable.

Reports should provide specific, adequate and pertinent information regarding the conduct with respect to, among other things, dates, places, specific activities, persons/witnesses, amounts and other relevant information, in order to allow for a reasonable investigation to be conducted.

7.2 Investigation

Any Reports of alleged or suspected misconduct or wrongdoing made under this policy will be properly assessed, and if appropriate, inquired into or independently investigated. The CEO (or President or Chair of the Ethics and Integrity Committee or Manager- Legal and Governance will determine the appropriate method and personnel for an investigation. In appropriate cases, assistance may be sought from internal or external specialists as deemed necessary.

During an investigation, an investigator must conduct sufficient inquiry to be able to determine conclusions and any recommendations regarding the Report.

The investigator and any specialists involved in the investigation shall be allowed access to all relevant materials, documents, and records and all personnel must co-operate fully with the investigator.

Any investigations will be conducted in a fair and independent manner and all reasonable efforts will be made to preserve the confidentiality of an investigation.

Information contained in reports and provided by Whistleblowers in the course of an investigation will be kept confidential, except as required by law or where disclosure is necessary to regulatory authorities, law enforcement agencies or professional advisors to AA.

A Whistleblower must keep confidential the fact that a report has been made (subject to any legal requirements) to avoid jeopardising an investigation.

During an investigation, AA will also take reasonable steps to fairly treat any person who is the subject of a Report.

7.3 Investigation Findings

On conclusion of the investigation, the investigator must prepare a report of the findings for the CEO, President, Chair of the Ethics and Integrity Committee or Manager- Legal and Governance (or equivalent) (as the case may be) which should include recommendations for steps to be taken to prevent the misconduct from occurring in the future, as well as any action that should be taken to remedy any harm or loss arising from the misconduct, including disciplinary proceedings against the person responsible for the conduct, and the referral of the matter to appropriate authorities, as is deemed necessary.

The Whistleblower will be kept informed of the progress and outcomes of an investigation by the investigator, subject to privacy and confidentiality considerations.

Where an investigation determines that the matter(s) in the Report are baseless, unsupported or unfounded, then the Whistleblower will be informed of this outcome and the matter concluded with no further action. The CEO, President, Chair of the Ethics and Integrity Committee or Manager- Legal and Governance (or equivalent) (as the case may be) will decide whether the person named in the Report should be informed that a Report was lodged and found to be baseless, unsupported or unfounded. This decision will be based on a consideration of the potential implications for the integrity of a person so named and for the Whistleblower.

Where an investigation is conducted and the investigator believes there may be a case for an individual to respond to, the investigator must ensure that a person who is the subject of a Report:

- (a) is informed of the substance of the allegations;
- (b) is given a fair and reasonable opportunity to answer the allegations before the investigation is finalised;
- (c) has their response set out fairly in the investigator's report; and
- (d) is informed about the substance of any adverse conclusions in the investigator's report that affects them.

The findings of an investigation will be set out in a report prepared by the investigator and considered by the Chair of the Ethics and Integrity Committee, the CEO or the President, whichever is appropriate in the context of the nature of the conduct described in the Report and the parties involved. That person will then determine the actions, if any, to be taken by AA in relation to the person(s) who is the subject of the Report. All relevant parties must adhere to that determination.

7.4 Reporting to a Member of Parliament or journalist

Protection will only be offered by AA to any Whistleblower who informs a Member of Parliament (**MP**) or journalist of concerns about Reportable Conduct if:

- (a) the Whistleblower has previously made a Report regarding the matter to an Eligible Recipient and either:
 - (i) at least 90 days have passed since the Report was made; and

- (ii) the Whistleblower does not have reasonable grounds to believe that action is being, or has been taken to address the Report; and
 - (iii) the Whistleblower has reasonable grounds to believe that making a further Report would be in the public interest; or
 - (iv) the Whistleblower has reasonable grounds to believe that the information concerns a substantial and imminent danger to the health and safety of a person, persons, or the environment; and
- (b) The Whistleblower provides prior written notification to AA that:
- (i) includes sufficient information to identify the previously made Report;
 - (ii) clearly states that the Whistleblower intends to make a public interest disclosure or an emergency disclosure under this section of the policy; and
 - (iii) the information disclosed is no greater than necessary to inform the MP or journalist of the misconduct or the otherwise improper state of affairs.

8. BREACH OF THIS POLICY

AA is committed to protecting and respecting the rights of a Whistleblower who reports wrongdoing or misconduct under this policy. AA will not tolerate any reprisals or threats of reprisals against a Whistleblower, or against a Whistleblower's colleagues, employer or relatives.

Any such retaliatory action or victimisation in reprisal for a Report made under this policy will be treated as serious misconduct and will result in disciplinary action, which may include dismissal. In some circumstances, it may be illegal in which case AA may notify the Australian Securities and Investments Commission or the appropriate state or federal police.

9. REVIEWS

AA reserves the right to amend this policy from time to time subject to organisational needs or changes in the law. The Policy will be reviewed at least every two years and any amendments will be approved by the AA Board, updated in the AA Policy register and updated on the AA website if appropriate.