

WHISTLE-BLOWER POLICY

Dated: 24 July 2019 – V1

Review date: 24 July 2020

Circulated: To all employees via EDM and available via Intranet/Internet

Purpose

City Tattersalls Club is committed to a culture of Corporate Compliance and ethical behaviour.

This policy deals with certain issues relating to misconduct, mal-practice, internal controls and conflicts of interest to ensure compliance with the laws and regulations applicable to the Club, it's employees, contractors, members and Directors.

Application

This policy applies to all **Employees, Board of Directors, Contractors and Members** of City Tattersalls Club.

Objectives

- The objectives of this policy are to encourage all employees, contractors, members, guests and Board of Directors to disclose any mal-practice, misconduct or conflicts of interest of which they become aware;
- Provide protection for employees, all **employees, Board of Directors, contractors and members** who report allegations of such malpractice, misconduct or conflicts of interest; and
- Ensure that all allegations are thoroughly investigated with suitable action taken, where necessary.

Policy

This policy is designed to ensure that honesty and integrity is maintained. A whistleblower is protected against adverse employment actions (dismissal, demotion, suspension, harassment, or other forms of discrimination) for raising allegations of malpractice, misconduct or conflicts of interest. Subject to this policy, a whistleblower is protected even if the allegations prove to be incorrect or unsubstantiated.

Employees who participate or assist in an investigation will also be protected. Every effort shall be made to protect the anonymity of the whistleblower, however there may be circumstances where anonymity cannot be guaranteed. In such situations, the whistleblower shall be fully briefed.

This policy is not designed to deal with general employment grievances and complaints. All employees should be aware that if an employee makes a false report deliberately, maliciously, or for personal gain, that employee may face disciplinary action.

Below are some examples of reportable malpractice, misconduct or conflicts of interest:

- Dishonesty.
- Fraud.
- Corruption.
- Illegal activities (including but not limited to money laundering, theft, drug use, selling drugs, violence, threatened violence, criminal damage against the Club's assets/property).
- Discrimination.
- Vilification.
- Bullying and Harassment (including, but not limited to Sexual Harassment).
- Breach of Commonwealth and State legislation and Acts including, but not limited to the *City Tattersalls Club Act 1936*, *The Registered Club's Act 1976* and local authority by laws.
- Unethical behaviour.
- Other serious misconduct (including gross mismanagement, serious and substantial waste of club resources, or repeated breaches of administrative procedures).
- Unsafe work-practices.
- Any other conduct which may cause financial or non-financial loss to the Club or be otherwise detrimental to the interests or reputation of the Club, or any of our employees.
- A deliberate concealment of information tending to show any of the matters listed above.

Protection of whistleblower - Employees

This policy protects the whistleblower against any reprisals, provided that the whistleblower identifies himself/herself, and the claim is:

- Submitted in good faith and without any malice or intentionally false allegations;
- Based on the whistleblower's reasonable belief that the malpractice or misconduct or issue related to the malpractice or misconduct constitutes, or may constitute, a material violation and
- does not result in a personal gain or advantage for the whistleblower.

No alleged malpractice or misconduct that meets the above-mentioned conditions will give rise to any reprisals or threat of reprisals against the whistleblower, unless the whistleblower is a participant in the prohibited activities about which the complaint is made. In those circumstances, the decision to file the complaint is only likely to affect the extent of the disciplinary measures (if any) that may eventually be taken against the whistleblower.

This effectively means that the Club and its Board of Directors, Managers, and agents will not penalise, dismiss, demote, suspend, threaten or harass a whistleblower or transfer the whistleblower to an undesirable job or location, or discriminate in any manner against the whistleblower, to take reprisals or retaliate as a result of the whistleblower having reported an

act that is illegal or unethical, unless the whistleblower is a participant in the illegal or unethical act(s).

The Club considers any reprisals against a whistleblower to be a serious breach of this policy and one likely to result in disciplinary measures, including dismissal. This protection applies to any employee providing information related to an investigation pursuant to this policy.

Protection of whistleblower – Patrons, Contractors and Board of Directors

Patrons, Contractors and Directors who disclose any mal-practice, misconduct or conflicts of interest of which they become aware; will be provided with protection by the Club unless the whistleblower is a participant in the prohibited activities about which the complaint is made.

- Members (whistleblowers) will not be penalised by having their membership revoked.
- Contractors (whistleblowers) will not have their contracts with the Club terminated.
- Directors (whistleblowers) will not be terminated from the Board.

Confidentiality

The Club recognises that maintaining appropriate confidentiality is crucial in ensuring potential whistleblowers coming forward and disclosing their knowledge or suspicions about malpractice or misconduct in an open and timely manner and without fear of reprisals being made against them.

The Club will take all reasonable steps to protect the identity of the whistleblower/s and will adhere to any statutory requirements in respect of the confidentiality of disclosures made. In appropriate cases, disclosure of the identity of the whistleblower or the allegation made by them maybe unavoidable, such as if court proceedings result from a disclosure pursuant to this policy.

Reporting procedures

Any person who has reasonable grounds to suspect that malpractice or misconduct has occurred is encouraged to report that suspicion to their immediate manager or if this is considered inappropriate, raise any concerns with the Head of People and Culture Eren Choker or William Corbett, The Club's Chief Operations Officer. Alternatively, if the matter concerns a Senior Manager, the club's CEO can always be approached for a confidential discussion.

All claims of malpractice or misconduct should provide specific, adequate and pertinent information with respect to (among other details), dates, places, persons/witnesses, amounts, and other relevant information in order to allow for a reasonable investigation to be conducted. If the whistleblower discloses his/her name, the person receiving the claim will acknowledge having received the complaint and escalate to the Head of People and Culture or the Club's COO who will initiate a follow-up meeting. However, if the claim is submitted on an anonymous basis there will be no follow-up meeting regarding the claim of malpractice or misconduct and the Club will be unable to communicate with the whistleblower if more

information is required or if the matter is to be referred to external parties for further investigation.

Please note that all claims of malpractice or misconduct received are treated on a confidential basis and whistleblowers are encouraged to disclose their identity to obtain the protection afforded to them by law.

Procedures following disclosure

Once a report of a suspected malpractice or misconduct has been received from a whistleblower who has provided reasonable grounds for their belief that malpractice or misconduct has occurred, an investigation of those allegations shall commence. All material violations and any actions that may be required as a result of the investigations will be reported to the Board of Directors.

Investigations

Investigations will be conducted promptly and fairly with due regard for the nature of the allegation and the rights of the persons involved in the investigation. Evidence, including any materials, documents or records shall be held securely by the investigator. The person receiving the disclosure must report it as soon as possible to the Head of People and Culture and or the Chief Operating Officer. These Senior Managers shall then determine if the allegation is, in fact, pertinent to any of the issues mentioned in this policy.

The HOP&C and COO will determine the appropriate method for the investigation. In appropriate cases, the HOP&C/COO may request for the assistance of an internal or an external accounting or legal specialist, as they deem necessary.

During the investigation, the investigator will have access to all of the relevant materials, documents, and records. The persons involved in the complaint must cooperate fully with the investigator. During the investigation, the Senior managers will use all reasonable means to protect the confidentiality of the information regarding the whistleblower.

Reporting

At the conclusion of the investigation, the investigator will prepare a report of the findings for the CEO. Where the final report indicates that the malpractice or misconduct has occurred, the final report will include recommendations for steps to be taken to prevent the malpractice or misconduct from occurring in the future. It will also include, any action that should be taken to remedy any harm or loss arising from the malpractice or misconduct, including disciplinary proceedings against the person responsible for the conduct, and the referral of the matter to appropriate authorities, as is deemed necessary by the CEO or COO.

Communications to the whistleblower

The Club shall ensure that provided the claim was not submitted anonymously, the whistleblower is kept informed of the outcomes of the investigation of the relevant allegations, subject to the considerations of privacy of those against whom allegations are made.

Report Form

If you would like to submit an anonymous report, please complete the below form and submit to the following address:

Private and Confidential
Attention: Mr William Corbett, COO or Ms Eren Choker, Head of People and Culture
196 – 204 Pitt Street
SYDNEY NSW 2000

Date:	Please include the date of the activity you wish to report.
Time:	Please include the time of the activity you wish to report.
Report Details:	<p>Please insert your report here.</p> <p>All claims of malpractice or misconduct should provide specific, adequate and pertinent information with respect to (among other details), dates, places, persons/witnesses, amounts, and other relevant information in order to allow for a reasonable investigation to be conducted.</p>
Witness 1 Contact Details	
Name:	

Phone no.	
Witness 2 Contact Details:	
Name:	
Phone no:	

For Further information and advice, refer to any other related policies or contact Head of People and Culture by telephone on 9287 6429.