THE PERTH MINT
AUSTRALIA

Gold Corporation

Public Interest Disclosure (Whistleblowing) Standard



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You can find simple, easy-to-follow information about how to raise concerns on the *See* *Something, Say Something* page on the Mintranet.

1 ORGANISATIONAL COMMITMENT FOR REPORTING PUBLIC INTEREST INFORMATION & MISCONDUCT

Gold Corporation (**Corporation**) does not tolerate corrupt or other misconduct.

The Corporation is committed to the aims and objectives of the *Public Interest Disclosure Act 2003* (WA) (**PID Act**), and voluntarily adopts the whistleblowing protections set out herein. The PID Act recognises the value and importance of reporting as a means to identify and address wrongdoing in public authorities.

The Corporation strongly supports disclosures being made by employees about corrupt or other improper conduct. We also strongly support contractors and members of the community making disclosures about corrupt or improper conduct.

The Corporation does not tolerate any of its employees, contractors or subcontractors taking reprisal action against anyone who makes or proposes to make a public interest disclosure.

The Corporation will take all reasonable steps to protect employees from any detrimental action in reprisal for the making of a public interest disclosure.

The commitment to effectively manage public interest disclosures extends to a proper authority of the Corporation. The persons responsible for receiving disclosures of public interest information designated under s. 23(1)(a) of the PID Act will abide by the PID code of conduct and integrity (**PID Code of Conduct**) in performing their duties, which is available on the WA Government's Public interest disclosure resources web page (www.wa.gov.au).

The Corporation is also committed to responding to the disclosure thoroughly and impartially. We will treat all people in the disclosure process fairly, including those who may be the subject of a disclosure.

The Corporation will provide as much information as possible to people considering making a public interest disclosure. These internal procedures are accessible to all employees and contractors. Copies are available from the designated persons appointed as the proper authorities in accordance with s. 23(1)(a) and s. 5(3)(h) of the PID Act (**PID Officers**) and will be available via the Mintranet.

General information about public interest disclosures and how the Corporation will manage a disclosure is available for external clients and members of the community on our website https://www.perthmint.com/about/policy-and-governance/.

While these procedures focus on public interest disclosures, we are committed to dealing with all reports of suspected wrongdoing. We encourage people to report, if they witness any such behaviour. The Corporation will consider each matter under the appropriate reporting pathway and make every attempt to protect staff members making reports from any reprisals.

2 MODERN SLAVERY COMMITMENT

The Corporation is committed to respecting, promoting, and protecting the human rights of all individuals impacted by the Corporation's operations, supply chains, and business relationships in a manner consistent with the United Nations Guiding Principles on Business and Human Rights and the OECD Due Diligence Guidance for Responsible Business Conduct and Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas. This commitment is embedded in the Corporation's risk management and ethical sourcing practices and reflects the Corporation's expectation that its employees, contractors, suppliers and business partners uphold the same standards of human rights protection and actively contribute to efforts to eradicate modern slavery and human trafficking.

Whistleblowers are encouraged to report any suspected or actual instances of modern slavery or human rights violations in accordance with this policy.

For further information, please refer to the Corporation's ENV-POL-0001 Gold Corporation Human Rights Policy.

3 PURPOSE OF THE INTERNAL PROCEDURES

The Corporation's Chief Executive Officer (**CEO**) is responsible for preparing and publishing these internal procedures under section 23(1)(e) of the PID Act.

This standard outlines how we will meet our obligations under the PID Act and the procedures for disclosures of public interest information and misconduct. It covers the roles and responsibilities of:

(a) the CEO;

(b) the PID Officers;

(c) the discloser; and

(d) the subject of the disclosure.

4 SCOPE AND APPLICATION OF INTERNAL PROCEDURES

This standard applies to all people involved in the disclosure process of public interest information and misconduct, including the CEO, PID Officers, employees of Gold Corporation and/or any person making a disclosure and any subjects of a disclosure.

This standard is to be read in conjunction with the PID Act, *Public Interest Disclosure Regulations 2003* (WA), the *Gold Corporation Act 1987* (WA), Gold Corporation's internal policies and procedures (including the Code of Conduct and Public Interest Disclosure (Officer) Procedure) and the 'Don't be Afraid to Speak Up' guide available on the WA Government's Public interest disclosure resources web page (www.wa.gov.au).

The behaviour of all employees involved in the disclosure process must accord with our Code of Conduct at all times. A breach of the Code of Conduct may result in disciplinary action.

5 OVERVIEW OF ROLES AND RESPONSIBILITIES OF PARTIES INVOLVED IN THE PUBLIC INTEREST DISCLOSURE PROCESS AT THE CORPORATION

Person / role	Responsibilities
Chief Executive Officer (s. 23)	• Designates the PID Officers to receive public interest disclosures related to the Corporation (s. 23(1)(a)). • Provides protection from detrimental action or the threat of detrimental action for any employee of the Corporation who makes a public interest disclosure (s. 23(1)(b)). • Ensures the Corporation complies with the PID Act and the PID Code of Conduct (ss. 23(1)(c) and (d)). • Prepares and publishes internal procedures, consistent with those prepared by the Public Sector Commission, detailing how the Corporation will meet its obligations under the PID Act (s. 23(1)(e)). • Provides information (s. 23(1)(f)) to the Public Sector Commissioner on the: ◦ number of disclosures received by the Corporation

Person / role	Responsibilities
	• results of any investigations conducted as a result of the disclosures • action, if any taken, as a result of each disclosure • any matters as prescribed. • May have a role in enabling an investigation to be undertaken or taking disciplinary action against individuals under functions and powers separately from the PID Act.
The Proper Authority (s. 5(3), s. 7 and s. 18) or PID Officers s. 23(1)(a))	• As is designated by ss. 5(3)(a-g) or by the CEO of the Corporation, under s. 23(1)(a) the PID Officers are to receive disclosures related to the Corporation. • Provides information to potential disclosers about their rights and responsibilities consistent with the PID Code of Conduct. • Receives and manages public interest disclosures in accordance with the PID Act (s. 5(3)). • Notifies the discloser within three months of the disclosure being made about what action is planned in dealing with the disclosure (s. 10(1)). • Where appropriate, investigates, or causes an investigation of, the matters in the disclosures (s. 8(1)). • Where appropriate, provides information to subjects of a disclosure about their rights, responsibilities, duties and potential offences (s. 9(2), s. 14, s. 15, s. 16 and s. 24). • Where appropriate, takes such action as is necessary and reasonable, within their functions and powers in accordance with s. 9. • Maintains confidentiality of the identity of the discloser and subject(s) of disclosures, in accordance with the requirements of the PID Act (s. 11 and s. 16). • Provides progress reports where requested and a final report to the discloser in accordance with s. 10. • Creates and maintains proper and secure records in relation to the disclosures in accordance with PID Code of Conduct and the *State Records Act 2000*. • Completes a PID Register for each disclosure lodged (s. 23(1)(f)). • Acts in accordance with the rules of natural justice (s. 9(2) and s. 16(1)(b)).

Person / role	Responsibilities
	• Acts in accordance with the PID Code of Conduct and any authority-specific code of conduct established separately from the PID Act.
The discloser	• Makes a public interest disclosure to a proper authority or a PID Officer if the matter relates to the Corporation (s. 5(1)). • Believes on reasonable grounds the information in their disclosure is, or may be, true (s. 5(2)). • Does not disclose information subject to legal professional privilege (s. 5(6)). • Does not knowingly and recklessly make a false or misleading disclosure (s. 24(1)). • Maintains confidentiality of the information disclosed and the identity of the person(s) to whom the information relates, in accordance with the requirements of the PID Act (s. 16 and s. 17(1)(b)). • Assists any person investigating the matter to which the disclosure relates by supplying the person with any information requested (s. 17(1)(a)).
The subject of the disclosure (person about whom disclosure is made)	• Is afforded the opportunity to make a submission, either orally or in writing, in relation to the matter before preventative or disciplinary action is taken (s. 9(2)). • Maintains confidentiality of the identity of the discloser, in accordance with the requirements of the PID Act (s. 16(1)). • Is to be treated in accordance with the rules of natural justice (s. 16(1)(b)). • Does not take or threaten to take detrimental action (defined in s. 3) against a person because they have made or intend to make a disclosure (s. 14(1)). • Does not incite another person to take detrimental action against another because they have made or intend to make a disclosure (s. 14(2)). • Does not commit an act of victimisation by taking or threatening to take detrimental action against the person making or intending to make a disclosure (s. 15(1)).
An investigating officer:	• May investigate matters of public interest information on behalf of a proper authority of the Corporation, in accordance with the terms of reference given to them. • Maintains confidentiality of the identity of the disclosure and any persons subject to the disclosure, in accordance with s. 16.

Person / role	Responsibilities
	• Makes, and keeps secure, comprehensive records of any investigation undertaken.

6 DISCLOSURES

6.1 Public interest disclosure

The PID Act allows people to make disclosures about wrongdoing in public authorities and protects them when they do.

A public interest disclosure is a report about certain types of wrongdoing by a public authority, public officer or public sector contractor covered by the PID Act.

A disclosure must:

(a) relate to a matter of public interest information (see section 6.1.1 below); and

(b) show (or tend to show) that a public authority, public officer or public sector contractor is, has been or may in the future be involved in wrongdoing when performing their public function.

Additionally, a discloser must:

(a) not disclose information that would otherwise be the subject of legal professional privilege;

(b) believe on reasonable grounds that the information is or may be true;

(c) be clear that they are choosing to make a disclosure under the PID Act; and

(d) make the disclosure to a PID Officer.

6.1.1 Public interest information

The PID Act only applies to disclosures of public interest information. Public interest information means information that:

(a) relates to the performance of a public function by a public authority, public officer or public sector contractor (either before or after the commencement of the PID Act); and

(b) shows or tends to show that a public authority, a public officer, or a public sector contractor is, has been or proposes to be involved in:

(i) improper conduct;

(ii) an act or omission that constitutes an offence under a written (State) law;

(iii) substantial unauthorised or irregular use of, or substantial mismanagement of, public resources;

(iv) an act done or omission that involves a substantial and specific risk of:

(A) injury to public health;

(B) prejudice to public safety; or

(C) harm to the environment; or

(v) a matter of administration that can be investigated under section 14 of the *Parliamentary Commissioner Act 1971* (WA) by the Parliamentary Commissioner (Ombudsman Western Australia).

6.2 Disclosures of misconduct

Most information of misconduct will constitute public interest information and may attract the protections of the PID Act. However, this is not always guaranteed, and it will depend on the nature of the misconduct being disclosed.

Misconduct includes any conduct which:

(a) represents a danger to the public;

(b) breaches, fails to comply with or contravenes the law, including the Gold Corporation Act;

(c) breaches any internal policy or code of the Corporation;

(d) constitutes is dishonest, fraudulent, corrupt or illegal, activity including bribery;

(e) constitutes tax avoidance behaviours;

(f) constitutes theft, drug and alcohol distribution, sale or use (when in contravention of HST-*PRO-001 Drug and Alcohol Management Procedure*), violence, assault, intimidation, criminal damage to property;

(g) constitutes harassment, sex-based harassment, discrimination, victimisation, or bullying;

(h) is potentially damaging to the Corporation, its employees or a third party such as unsafe work practices, environmental damage, health risks or abuse of the Corporation's property or resources;

(i) may cause the Corporation financial loss, damage its reputation or be otherwise detrimental to the Corporation's interests;

(j) causes, or threatens to cause, detriment to anyone because that person knows, believes or suspects that a Disclosure has been, or might be, made under this standard; or

(k) indicates any other misconduct or an improper state of affairs in relation to the Corporation or a related entity.

Both misconduct and PIDs are to be disclosed in accordance with the procedures in this standard.

6.3 Conduct not reportable

A disclosure of misconduct or public interest information is more than a general complaint of dissatisfaction with a product, service or decision. It is also more than a personal grievance that can be resolved by agreement between parties. Not all disclosures will qualify as PID or misconduct, therefore they may not always be protected under the PID Act or this standard. This policy does not apply to:

(a) personal work-related grievances;

(b) health and safety hazards; or

(c) general employment grievances and complaints by a person about their own employment or situation.

Employees are encouraged to raise personal work-related grievances and other issues not covered by this standard to their direct manager, peer support officers, or to the People and Culture team. Please

refer to the Corporation's *PO-0352 Gold Corporation Grievance Resolution Policy, PAC-POL-0010 Equal Opportunity Procedure* and/or *PAC-POL-0009 Counselling & Discipline Policy & Guidelines*.

6.4 Public interest information, misconduct, sex-based harassment or grievance

Upon reporting your information, a designated PID Officer of the organisation will determine whether your disclosure constitutes a PID and/or qualifies for protection under this standard.

Additionally, the Corporation has a zero-tolerance policy for sex-based harassment and sexual assault. This includes, but is not limited to, staring, suggestive comments, intrusive questions about a person's private life, and sexual communications in the workplace or other locations where there is a connection to work. While the Corporation encourages employees to disclose sexual harassment in accordance with *PR-0567 Sexual Harassment and Sex Discrimination Prevention and Response Procedure*, where sex-based harassment is disclosed to the Corporation in accordance with this standard, the Corporation will treat it as an eligible disclosure (even if it is not), and the discloser of that sex-based harassment will be afforded all the protections this standard offers.

Once a disclosure has been made under this standard, it cannot be withdrawn.

6.5 Who can make a disclosure

Anyone can make a public interest disclosure under the PID Act, including members of the public, government clients or stakeholders and employees, as long as they believe **on reasonable grounds** their information is or may be true. Making a deliberately false or misleading disclosure carries significant penalties under the PID Act.

A disclosure of misconduct can be made by individuals who are, or have been:

(a) a director, officer or employee of the Corporation;

(b) a contractor or supplier of the Corporation;

(c) an employee of a contractor or supplier of the Corporation;

(d) an individual who is an associate of the Corporation, for example, a director of a Related Entity; and

(e) a relative, dependent or spouse (or that spouse's dependents) of an individual referred to at (a) to (d) above.

7 MANAGING PUBLIC INTEREST DISCLOSURES

The following procedures and obligations describe how disclosures of public interest information are managed under the PID Act. These will only apply to a disclosure of misconduct if it also constitutes public interest information.

7.1 Overarching requirements of the Public Interest Disclosure Act 2003

The PID Act contains some overarching requirements for handling disclosures which separate the public interest disclosure process from other reporting or complaint handling processes. The PID Act does not, however, displace the notification or reporting requirements of the *Corruption, Crime and Misconduct Act 2003* (WA), which are paramount. The following section outlines how we will meet the PID Act requirements, as well as expectations of disclosers and any subject of a disclosure.

7.1.1 Confidentiality

Maintaining confidentiality is an important part of managing a disclosure. The confidentiality requirements of the PID Act (s. 16) protect the discloser and any other people affected by the disclosure.

The confidentiality requirements do not apply to all information in a disclosure, however we are committed to maintaining confidentiality around:

(a) any information that may identify the discloser or any person who may be the subject of a disclosure, including the fact a disclosure has been made; and

(b) information relating to a disclosure that, if known, may cause detriment.

Throughout the disclosure process and after its completion, the PID Act provides for the discloser's identity and the identity of any person who is the subject of the disclosure to be kept confidential, except in certain circumstances. Disclosing information which might identify, or tend to identify the disclosers (s. 16(1)) or any person who is the subject (s. 16(3)) of the disclosure, except in accordance with the PID Act, is an offence punishable with two years' imprisonment or a $24,000 fine.

7.1.2 Confidentiality regarding the discloser

Maintaining confidentiality is an important part of protecting the discloser from any detrimental action in reprisal for making or intending to make a disclosure.

If the discloser consents to having their identity revealed to assist us in dealing with the disclosure, the PID Officer will record this using a 'Consent to disclosure of identifying information' form, available online via the Public Interest Commission.

We may need to identify the discloser without the discloser's consent (s. 16(1) (b)-(f)) if:

(a) it is necessary to do so having regard to the rules of natural justice;

(b) it is necessary to do so to enable the matter to be investigated effectively;

(c) we are ordered by a court or any other person or body having authority to hear, receive or examine evidence; or

(d) we are required by ss.152 or 153 of the *Corruption, Crime and Misconduct Act 2003* (WA).

Before we identify the discloser for any of the reasons above, the PID Officer will take all reasonable steps to inform the discloser that this will happen and the reasons why. The PID Officer will use the 'Notification of disclosure of identifying information' form (found on the Public Sector Commission's website) to do this.

If we need to provide information about the identity of the discloser to another person for the reasons above, the PID Officer will inform the other person that further disclosure to a third person may put them at risk of committing an offence.

The PID Officer will also consider whether it is necessary to inform any external investigator about the identity of the discloser. Where it is necessary to provide this identifying information, the PID Officer will notify as described above.

7.1.3 Confidentiality regarding the person that is the subject of the disclosure

The subject of a disclosure may consent to having their identity revealed to assist with the disclosure process (s. 16(3)(a)). The PID Officer will use the 'Consent to disclosure of identifying information' form (found on the Public Sector Commission website) to record this.

Additionally, we may need to reveal identifying information about the subject(s) of a disclosure without their consent (ss. 16(3)(b)-(g)) where:

(a) it is necessary to do so to enable the matter to be investigated effectively;

(b) it is necessary to do so in the course of taking action under s. 9;

(c) there are reasonable grounds to believe that it is necessary to prevent or minimise the risk of injury to any person or damage to any property;

(d) we are ordered by a court or any other person or body having authority to hear, receive or examine evidence; or

(e) we are required by ss. 152 or 153 of the *Corruption, Crime and Misconduct Act 2003* (WA).

There is no obligation to advise the subject of a disclosure that identifying information will be released.

7.1.4 Protections

The PID Act provides a range of protections for disclosers (Part 3). It also requires that the CEO provides protection for any employees who make disclosures (s. 23(1(b)).

'Don't be Afraid to Speak Up' contains general information about the protections provided by the PID Act. The PID Officers will be able to expand on this information specific to the Corporation.

A discloser is protected from certain legal actions when making a protected disclosure, including civil, criminal, and administrative liability however the protections do not grant immunity for any misconduct a whistleblower has engaged in that is revealed in their disclosure.

We are committed to ensuring that no detrimental action, including workplace reprisals by managers or other employees, occurs as a result of a person making a disclosure. If any of the above does occur, the discloser can request that we take action to protect them by immediately notifying the PID Officer who is handling the disclosure.

A discloser may lose the protections provided in s. 13 in some circumstances, including where they on-disclose information or fail, without reasonable excuse, to assist any person investigating the matters of the disclosure.

7.1.5 Notification requirements

The PID Officers will ensure the Corporation completes all reporting in accordance with the legislative and administrative requirements of the PID Act.

Provided it is not an anonymous disclosure, the PID Officer will notify the discloser:

(a) within three months of making a disclosure, of the action taken, or proposed to be taken, in relation to the disclosure (s. 10(1)); and

(b) of the outcome of the investigation and the reasons for taking any action following the investigation once the disclosure process has concluded (s. 10(4)).

The PID Officer may also provide a progress report during any investigation, either on their initiative or upon your request (ss. 10(2) and (3)).

The PID Officer has some limits on what they can include in their reports. Section 11 prevents provision of information that would be likely to adversely affect:

(a) any person's safety;

(b) the investigation of an offence or possible offences; or

(c) confidentiality as to the existence or identity of any other person who made a public interest disclosure.

The PID Officer is also prevented from giving any information they must not disclose under ss151, 152 or 153 of the *Corruption, Crime and Misconduct Act 2003* (WA).

7.1.6 Record keeping

During the investigation, the PID Officer may make comprehensive and contemporaneous records of any discussions and interviews. These records along with any other documentation or files relating to the disclosure, whether paper or electronic, will be stored securely and only accessed by authorised persons.

8 HOW TO MAKE A DISCLOSURE

The following process for disclosing information applies to PIDs, as well as reports of misconduct and sexual harassment. However, the rights and protections under the PID Act will only be applicable to PIDs, though the Corporation will endeavour to provide similar protections for disclosures of misconduct not captured by the PID Act, including disclosures of sexual harassment to the extent possible. Disclosures that are not subject to PID protections will be treated in accordance with anti-victimisation principles in accordance with *PAC-POL-0009 Counselling & Discipline Policy & Guidelines.*

8.1 Before you make a disclosure

We strongly encourage anyone thinking about making a disclosure to seek advice from a PID Officer, who is a proper authority, prior to disclosure to determine whether the disclosure attracts the protections of the PID Act and/or this standard. A disclosure must be made to a proper authority for it to be covered by the PID Act.

A number of other requirements apply to the discloser in relation to a PID, so it is important to understand the rights and responsibilities in the process. This information is outlined generally in 'Don't be Afraid to Speak Up'.

The Corporation's designated PID Officers are responsible for receiving disclosures of public interest information in accordance with s. 23(1)(a). PID Officers can also receive disclosures of misconduct and sexual harassment. For the purposes of this standard, a PID Officer is the proper authority designated under s. 5(3)(h) for dealing with information that falls within the sphere of responsibility for the Corporation.

The Corporation's PID Officer contact details are:

Position	Name of PID Officer	Contact details
Edwina Dwyer - Chief People & Reputation Officer	300 Hay Street, East Perth	Office Tel: +61 8 9421 7624 Mobile: +61 417 945 814 Email: edwina.dwyer@perthmint.com
Kristen Potter - General Manager People and Culture	300 Hay Street, East Perth	Office Tel: +61 8 9421 7657 Mobile: +61 419 808 905 Email: kristen.potter@perthmint.com
Emma Soactar - General Manager Corporate Governance and General Counsel	300 Hay Street, East Perth	Office Tel: +61 8 9421 7343 Mobile: +61 461 509 782 Email: emma.soactar@perthmint.com

In the event a PID discloser involves a PID officer, complaints will be directed to a designated member of the Corporation's board. The designated members are:

Position	Name of PID Officer	Contact details
Sally Langer – Board Member	300 Hay Street, East Perth	Disclosures can be made via the YourCall portal
Melanie Cave – Board Member	300 Hay Street, East Perth	Disclosures can be made via the YourCall portal

Initial discussions between the discloser and the PID Officer should be general in nature and should not discuss the specific details of the disclosure until the discloser understands their rights and responsibilities under the PID Act or this standard. The PID Officer will also let the discloser know that they need to make the disclosure voluntarily and consciously – we will never force a person to make a disclosure. This is because a disclosure cannot be withdrawn once it is made. Once we receive your disclosure, a PID Officer is obliged to take action, and we may continue to investigate the matters within the disclosure irrespective of your continued approval.

These initial discussions with a PID Officer may help in deciding whether to make a public interest disclosure and enable the PID Officer to ascertain if the information would be covered by the PID Act. If the information appears not to be the type covered by the PID Act, the PID Officer will discuss other mechanisms through which issues can be reported, for example, through the general complaints process.

A PID Officer will be able to provide more detailed information about the Corporation's disclosure process and what people can expect from it.

You can also contact the Public Sector Commission Advisory Line on (08) 6552 8888 (or 1800 676 607 for country callers) for general information about the PID process.

8.1.1 What is 'sphere of responsibility'?

Under s5(3)(h), the PID Officer for an authority can receive information relating to a matter which falls within the 'sphere of responsibility' for their public authority. 'Sphere of responsibility' is not defined in the PID Act but may include:

(a) matters that relate to the Corporation; or

(b) a public officer or public sector contractor of the Corporation; or

(c) a matter or person that the Corporation has a function or power to investigate.

To be covered under the PID Act and for the protections of the PID Act to apply, a public interest disclosure must be made to a proper authority. The proper authority for a disclosure will depend on the information or 'matter' in the disclosure. Information outside of a PID Officer's sphere of responsibility may need to be disclosed to another proper authority for it to be considered a public interest disclosure and for the discloser to receive the protections of the PID Act. In some cases, a public interest disclosure may be made to an external 'named' proper authority, as outlined in s. 5(3).

A list of proper authorities and the information they can receive is covered in 'Don't be Afraid to Speak Up'.

In these named authorities, a broader range of officers may require training to receive public interest disclosures. For example, any police officer may be a proper authority for disclosures relating to offences.

8.2 Making the disclosure

A discloser needs to clearly identify that they are making a public interest disclosure. For the purposes of accountability and certainty, persons wishing to make a disclosure of public interest information under the PID Act are encouraged to do so in writing.

A public interest disclosure may be made:

(a) internally to a PID Officer;

(b) to YourCall; or

(c) to an external 'named' proper authority listed in s. 5(3) of the PID Act.

Disclosures of other misconduct or of sexual harassment should be made internally, and may be made to a PID Officer, to YourCall or in accordance with other relevant policy.

8.2.1 Making a disclosure to YourCall

YourCall operates under a Service Agreement with the Corporation to facilitate disclosures of public interest information, as well as misconduct and sexual harassment. YourCall enables disclosures to be made anonymously and confidentially as required by the PID Act. Whilst the Corporation prefers disclosers to disclose their identity in order to facilitate an investigation, disclosers are not required to identify themselves and will not be named in any report unless they have consented to their identity being disclosed, or an exception as outlined in 7.6.4 below applies. However, a discloser's rights to notification under s. 10 of the PID Act will not apply where a person has made an anonymous disclosure.

If a discloser decides to make an anonymous disclosure they should understand that it may be more difficult for the PID Officer to investigate or take action about the disclosure. This is because they cannot come back to seek any further information. The Corporation is also not required to provide any reports about the progress or final outcome of the disclosure if the discloser chooses to remain anonymous.

An anonymous disclosure may not prevent the identity of the discloser from becoming known during an investigation. Additionally, if the discloser is not known to the PID Officer, it will be difficult for them to ensure the discloser is protected and to prevent any reprisal or detrimental action.

Disclosures received by YourCall are reported to the Corporation in accordance with this standard. YourCall also enables the Corporation to obtain further information if required and enables the discloser to receive updates via an online anonymous message board which is accessible to the discloser following disclosure.

The message board allows the discloser to:

(a) communicate with YourCall and/or the Corporation without revealing their identity;

(b) securely upload any relevant documentation and/or material that they wish to provide;

(c) receive updates;

(d) ask questions and post information for the attention of the Corporation; and

(e) request support or report victimisation.

This option allows the discloser to:

(a) remain completely anonymous;

(b) be identified to YourCall only; or

(c) be identified to both YourCall and the Corporation.

YourCall is the external intermediary between a discloser and the Corporation. YourCall will:

(a) receive a disclosure;

(b) make a record of the information provided;

(c) ensure the discloser's identity is kept confidential from the Corporation if that is what the discloser wishes;

(d) allow the discloser to access the YourCall message board to enable communication with the Corporation; and

(e) refer the disclosure, including the information and documents provided, to the Corporations PID Officers within one business day.

YourCall is not the decision maker. All decisions related to dealing with the disclosure, including the investigation and resolution, are entirely the responsibility of the Corporation.

8.2.2 YourCall reporting options

YourCall reporting options include:

(a) Website: https://www.yourcall.com.au/report available 24/7; and

(b) Telephone: 1300 790 228 available 9am and 12am on recognised Australian national business days (AEST).

Online reports can be made via the website address listed above. Gold Corporation's unique identifier code is "GCP."

In the event a disclosure received by YourCall relates to a PID Officer, YourCall will exclude that PID Officer from all communications when providing the disclosure to the Corporation. The PID Officers who are not named in the disclosure will then receive and determine how the matter will be addressed or investigated as required.

YourCall remains an independent intermediary at all times and will only communicate with those authorised within the Corporation.

8.2.3 National Relay Service

If a discloser is deaf, or has a hearing or speech impairment, the discloser can contact YourCall online or through the National Relay Service. Simply choose a contact method at www.relayservice.gov.au and request YourCall's hotline 1300 790 228.

8.3 Determining whether your matter is an appropriate disclosure

Once a PID Officer has received the disclosure they will assess whether it meets the requirements under the PID Act. It may be that the PID Officer undertakes initial inquiries and decides not to take the matter any further, as it does not constitute an appropriate public interest disclosure.

If the disclosure is not one to which the PID Act applies, the PID Officer will let the discloser know the reasons for their decision (unless the disclosure was anonymous) and make proper and adequate

records about it. Some matters raised within the disclosure may not be matters to which the PID Act applies and the PID Officer may either investigate if it is information of other reportable misconduct or discuss with the discloser other pathways to report these matters.

If the disclosure is one to which the PID Act applies, the PID Officer will ensure proper and adequate records are made and will communicate with the discloser further, unless it is an anonymous disclosure.

The PID Officer will notify the discloser within three months about how the Corporation will deal with a PID, unless it is an anonymous disclosure.

8.4 Determining whether your disclosure will be investigated

After assessing the disclosure as one to which the PID Act applies, or a disclosure otherwise covered by this standard, the PID Officer will consider whether it will be investigated, guided by the requirements in s. 8. The reasons a PID Officer may not investigate the disclosure include:

(a) the matter is trivial;

(b) the disclosure is vexatious or frivolous;

(c) there is no reasonable prospect of obtaining sufficient evidence due to the time that has elapsed since the matter(s) occurred; or

(d) the matter is being or has been adequately or properly investigated by another proper authority, s5(3).

The PID Officer will make proper and adequate records of their decision and reasons about whether to investigate or not.

8.5 Referring public interest matters

Where the PID Officer assesses the disclosure as one to which the PID Act applies, but they do not have the functions or power to investigate one or more matters within the disclosure, they will refer the information to the appropriate authority for investigation as provided for under the PID Act. Alternatively, a discloser may also be able to make a disclosure directly to this new authority, if they wish to receive reports from them about the disclosure. For example, the PID Officer may need to refer an allegation of an offence supported by evidence to the Western Australia Police for investigation.

8.6 Investigating the disclosure

The PID Officer will investigate, or cause to be investigated, any matters in the disclosure within the sphere of responsibility. The PID Officer may cause the disclosure to be investigated by engaging a suitably skilled staff member within the Corporation or an externally contracted investigator.

If causing the disclosure to be investigated, the PID Officer will ensure that the person undertaking the investigation understands the requirements of the PID Act, in particular the confidentiality requirements and protections for disclosers. The PID Officer will only provide the name of the discloser and that of the subject of the disclosure to the investigator in accordance with s. 16 of the PID Act.

When investigating the disclosure, the PID Officer or investigator is limited by the functions and powers derived from the operating legislation. The PID Act does not provide for any additional investigative powers.

If you are an employee, you are expected to cooperate with any investigation into the disclosure to maintain the protections under the PID Act. A discloser is also expected to act in accordance with the Code of Conduct at all times.

Employees who are the subject of the disclosure can clarify the process and what to expect with the PID Officer.

The PID Officer may also decide to discontinue an investigation, in accordance with s. 8(2).

If this happens, they will give the discloser reasons for their decision in accordance with s. 8(3), unless they made an anonymous disclosure. The PID Officer may also notify any subjects of the disclosure if they discontinue the investigation.

To ensure the disclosure is adequately and properly investigated, the PID Officer or other investigator will conduct the investigation in accordance with the Corporation's *Counselling & Discipline Policy and Guidelines PAC-POL-0009*.

8.6.1 Internal investigative procedures

Gold Corporation will investigate a disclosure under this standard as soon as practicable after the public interest information has been reported in accordance with the *Counselling & Discipline Policy & Guidelines PAC-POL-0009*.

When a discloser seeks to make a disclosure, the PID Officer should first determine whether the location and time are appropriate for a disclosure to be made comfortably, and to ensure that a discloser's identity is protected. If the location or time is not appropriate, the PID Officer should arrange for an appropriate location and time to receive the disclosure.

Once a disclosure is made and the PID Officer determines the disclosure qualifies for protection and requires a formal investigation, the PID Officer will convene an investigation team. The make-up of the investigation team will depend on the nature of the disclosure but will likely be a combination of people from the Risk and Compliance, Legal, and People and Culture teams, as well as any external providers engaged by Gold Corporation for their specialist knowledge, or in situations where it is appropriate to have an external provider assist.

8.6.2 Investigator's report

At the conclusion of the investigation, the investigation team may provide a written report which would include:

- a finding of all relevant facts;
- whether the disclosure is proven, not proven or otherwise; and
- recommendation as to any action that may be taken in respect of the findings.

Where a written report is required, it will be prepared by the investigation team and then provided to relevant decision makers, which may include a member of the Corporations Senior Leadership Team, Executive Leadership Team, or the Corporation CEO.

Subject to privacy and confidentiality requirements, the findings of the investigation will be communicated to the relevant parties involved to the extent that it is legally permissible and appropriate to do so, and the relevant decision maker will determine the action (if any) to be taken including disciplinary action up to dismissal in accordance with Gold Corporations *PAC-POL-0009 Counselling & Discipline Policy & Guidelines* and/or SPR 0007 *Disciplinary Procedure – Unauthorised Possession of Precious Metals*.

The disciplinary action will depend on the severity, nature and circumstance of the Misconduct.

8.6.3 What are your responsibilities if you are the subject of a disclosure?

A subject of a disclosure is a person of interest against whom a disclosure of public interest information or other misconduct has been made.

The Corporation will treat the person fairly and impartially throughout the process and inform them of their rights and obligations. The Corporation will generally keep the parties involved informed during any investigation, however any information that may prejudice the investigation cannot be disclosed. As an employee, it is expected that they will act in accordance with our Code of Conduct at all times.

The PID Act provides rights and obligations concerning a person who is the subject of a public interest disclosure. The subject has a right to have their identity kept confidential under s. 16(3), unless:

(a) they consent to their identity being disclosed;

(b) it is necessary to enable the matter to be investigated effectively;

(c) it is necessary to do so in taking action within s. 9;

(d) there are reasonable grounds to believe that it is necessary to prevent or minimise the risk of injury to any person or damage to any property;

(e) it is disclosed in accordance with a court order or other body having authority to hear evidence; or

(f) it is disclosed in accordance with ss. 152 or 153 of the *Corruption, Crime and Misconduct Act 2003*.

Before the Corporation takes any disciplinary or other action against a person under s. 9, the subject of disclosure will have the opportunity to:

(a) be informed of the substance of the allegations; and

(b) make a submission either verbally or in writing in relation to the matter.

Both the discloser and the subject of disclosure have rights to confidentiality under the PID Act. It is therefore necessary that the subject of the disclosure does not identify or tend to identify the identity of the discloser or a person who they think might be the discloser. It is an offence under s16 to identify or tend to identify any person who has made a disclosure under the PID Act.

Finally, the subject of a disclosure is prevented from engaging in any detrimental action against a discloser, including threatening a person with reprisal action or having someone else conduct reprisal action on their behalf in response to discloser making, or intending to make, a disclosure. It is an offence under s. 14(1) of the PID Act to conduct reprisal action against any person they believe has made the disclosure even if they were not the individual who actually made the disclosure.

8.7 Taking action

The PID Officer will take action where they form the opinion that a person may be, may have been or may in the future be involved in conduct which may be the subject of a public interest disclosure or other disclosure. The PID Officer will usually form this opinion at the conclusion of an investigation, although there may be instances where they need to take immediate action in accordance with the PID Act or this standard.

Action a PID Officer may take under s. 9 includes, but is not limited to:

- preventing the matter disclosed from continuing or occurring;
- referring the matter to the Western Australia Police or other appropriate body; or

- taking disciplinary action against a person responsible for the matter.

The PID Officer may take more than one action depending on the circumstances. For example, the PID Officer may seek to terminate the employment of an employee caught stealing and refer the matter to the Western Australia Police.

Any action taken by the PID Officer and/or the Corporation is limited by the powers and functions derived from our operating legislation. The PID Act does not provide for any additional powers to take action. The Corporation is guided by what is necessary and reasonable in the circumstances.

8.7.1 Confidentiality and record keeping when taking action

The Corporation will maintain confidentiality in accordance with the PID Act when taking action.

The PID Officer will keep appropriate records about any action taken, as well as recording a summary of this action in the public interest disclosure register for PIDs.

8.8 After the public interest disclosure process has been finalised

The PID Act places no further obligations on the Corporation or our PID Officers after the disclosure process is complete. However, the confidentiality requirements of the PID Act continue to apply to all parties involved with the disclosure.

The PID Act does not provide a right to appeal the outcome of the disclosure investigation. A discloser may be able to make a disclosure to another proper authority if the information relates to their functions or sphere of responsibility (s. 5). Refer to Annexure A 'Don't be Afraid to Speak Up ' for the correct proper authority for your disclosure.

However, the 'new' proper authority may be able to decline to investigate the disclosure under s. 8 if they consider the matter has already been properly or adequately investigated (as a public interest disclosure).

8.9 Making a public interest disclosure to a journalist

The PID Act provides for certain circumstances where a discloser may be able to make a protected public interest disclosure to a journalist (s7A(d)). This statutory right is application for PIDs of public interest information only, and does not apply to disclosures of other misconduct or sexual harassment. These circumstances will only apply where the discloser has first made a disclosure to the PID Officer or another proper authority named in the PID Act (outlined in s. 5 or Don't be Afraid to Speak Up).

The privileges and protections of the PID Act will only apply to disclosures to a journalist if the information disclosed is substantially the same as what was disclosed in the original disclosure and the PID Officer that received the original disclosure:

- did not notify the discloser within three months of making the disclosure about actions they propose to take or have already taken; or
- refused to investigate, or discontinued the investigation of, a matter raised in the disclosure; or
- did not complete an investigation within six months of the discloser making the disclosure; or
- completed an investigation but did not recommend that action be taken; or
- did not provide the discloser with a report stating the outcome of any investigation or any action proposed or taken and the reasons for those actions.

The Corporation is committed to ensuring that we comply with notification requirements under the PID Act and that the discloser understands the reasons for our decisions and actions. If a discloser is considering making a disclosure to a journalist because they believe their circumstances meet one or more of the requirements outlined above, we would encourage the discloser to discuss this with the PID Officer prior to disclosure to a journalist.

It is also recommended that the discloser seek their own legal advice before taking any action in relation to matters that have been disclosed under the PID Act.

If a discloser makes an anonymous disclosure they may not be able to demonstrate they meet the above requirements and the Corporation is not obliged to provide the discloser with disclosure notifications.

9 REASONABLE BASIS FOR MAKING THE DISCLOSURE

Unsubstantiated allegations that are found to have been made maliciously or knowingly false will be viewed seriously and may be subject to disciplinary action that could include dismissal, termination of service or cessation of a service or client relationship.

Protection is not available where the disclosure is trivial or vexatious in nature with no substance. This will be treated in the same manner as a false report and may itself constitute a reportable conduct.

Individuals who deliberately submit false reports will not be able to access the protections under the PID Act. There may also be legal consequences if a discloser makes a knowingly false report.

10 BREACH

Any breach of this policy will be taken seriously and may result in counselling and/or disciplinary action up to and including termination of employment. An individual may also be exposed to criminal or civil liability for a breach of relevant legislation.

11 CONTACT DETAILS AND FURTHER INFORMATION

Further information about public interest disclosures can be found via the Public Sector Commission:

Phone: 61 8 6552 8888

Fax: 61 8 6552 8501

Email: integrity@psc.wa.gov.au

Website: www.wa.gov.au/organisation/public-sector-commission

All references to sections (that is, 's' and 'ss.') in these procedures relate to the PID Act, unless stated otherwise.