

Whistleblower Policy

Effective date: 25 June 2025

Purpose

Secure Electronic Registries Victoria (SERV) is committed to:

- ensuring lawful, honest and ethical conduct by its employees and officers and in all its business activities;
- promoting a culture of integrity, transparency, accountability and excellent corporate compliance and governance; and
- ensuring the fair treatment of employees or other persons who make a disclosure under this policy, as well as persons about whom a disclosure is made or to whom a disclosure relates.

The purpose of this policy is to:

- encourage the reporting of any actual or suspected **Misconduct** involving SERV or SERV employees or officers;
- confirm the processes for reporting and dealing with reports of **Misconduct**;
- confirm the protections that are available to **Eligible Whistleblowers** where a **Protected Disclosure** has been made.

This policy will be made available to all SERV employees and Officers on the SERV intranet page and to other persons via the SERV external website.

Policy overview

Section	Principle
1	When should I use this Policy?
2	How can a Protected Disclosure be made?
3	Who can receive a Protected Disclosure ?
4	How will Protected Disclosures be investigated?
5	What protections are available for Eligible Whistleblowers ?
6	What support is provided to Eligible Whistleblower ?
7	What measures are taken for individuals mentioned in a Protected Disclosures ?
8	Who can I contact if I have questions about this policy?

Key definitions

Term	Definition
Eligible Recipients (incl. SERV Nominated Whistleblower)	Eligible Recipients are: <ul style="list-style-type: none">• SERV Nominated Whistleblower Disclosure Officers being SERV's Chief Executive Officer, any member of the Executive Leadership Team, , including the Whistleblower Protection Officer, the Chair of the SERV Board of Directors, and the Chair of the SERV Audit & Risk Committee.

Terms in bold are defined terms contained in the Definitions section.

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Disclosure Officers)	<ul style="list-style-type: none"> Other SERV contacts being a Director or Company Secretary of SERV, an auditor, or member of an audit team, conducting an audit of SERV or an actuary of SERV. Legal practitioners for the purposes of obtaining legal advice or legal representation in relation to the operation of the <i>Corporations Act 2001</i> (Cth). External bodies being ASIC, APRA or another Commonwealth body prescribed by law. Any other person or authority prescribed by law. <p>Protected Disclosures may also be made to SERV via its independent service provider (as outlined below).</p>
Eligible Whistleblower	<p>A Protected Disclosure can be made by Eligible Whistleblowers who, for the purposes of this Policy, are:</p> <ul style="list-style-type: none"> any person who is currently or was formerly employed or engaged by SERV; any current or former contractors, consultants, service providers, business partners or suppliers of goods or services to SERV (and any employees or associates of such entities); relatives, dependents or spouses of any of the persons or entities mentioned above; or any individual prescribed by the law.
Protected Disclosure	<p>A Protected Disclosure is a disclosure that is:</p> <ul style="list-style-type: none"> made by an Eligible Whistleblower; made to an Eligible Recipient; and that relates to Misconduct.
Misconduct	<p>Misconduct is any suspected or actual behaviour which involves an improper state of affairs or circumstances. This may include engaging, or attempting to engage, in behaviour which:</p> <ul style="list-style-type: none"> is dishonest, unethical, fraudulent or corrupt (including bribery, money laundering, misappropriation of funds); constitutes a breach of any Commonwealth or State law or any other legal or regulatory requirements; involves some form breach of trust, negligence or breach of duty; has the potential to cause damage to persons or property (including personal injury, health risks, environmental or property damage) or otherwise endanger the public; has the potential to cause financial harm (including by causing SERV to suffer financial loss or damage to its reputation); involves a breach of SERV's policies and procedures or legal obligations (including wilfully breaching the Code of Conduct, confidentiality obligations, dishonestly making or altering company records). <p>It also includes engaging in or threatening to engage in detrimental conduct against a person or entity that has made a Protected Disclosure under this policy.</p> <p>Misconduct does <u>not</u> include Personal Work-Related Grievances.</p>

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Personal Work-Related Grievance	<p>Personal Work-Related Grievances are those which:</p> <ul style="list-style-type: none"> may relate to the discloser's current or former employment and have implications for the discloser personally; <u>but</u> does not have any other significant implications for SERV (or any other entity) or relate to or include any conduct about a disclosable matter (as set out above). <p>For example, grievances about the following matters will not qualify as a Protected Disclosure unless the circumstances also include conduct that is Misconduct:</p> <ul style="list-style-type: none"> transfer or promotion decisions; demotion or dismissal decisions; or allegations of bullying. <p>These matters may otherwise be covered by SERV's Appropriate Behaviour in the Workplace Policy & Procedure and/or Grievance Policy.</p>
Officer	<p>Officer includes:</p> <ul style="list-style-type: none"> a director or secretary of SERV a person who makes, or participates in making, decisions that affect the whole or a substantial part of SERV and who has the capacity to affect significantly SERV's financial standing anybody else defined as an officer of SERV by law
Whistleblower Protection Officer	<p>The Whistleblower Protection Officer is the nominated SERV employee responsible for ensuring that Eligible Whistleblowers who make a Protected Disclosure are protected from reprisals or and that their interests are safeguarded. At SERV, the Whistleblower Protection Officer is the General Manager, Human Resources.</p>

1. When should this Policy be used?

This policy applies where an **Eligible Whistleblower** has reasonable grounds to suspect that a SERV director, officer, employee, contractor, supplier or person is engaging, or has engaged, in **Misconduct** and the **Eligible Whistleblower** wishes to report that as a **Protected Disclosure**.

2. How can a Protected Disclosure be made?

A **Protected Disclosure** may be made in the following ways:

	Summary	Detail
1	Directly to an Eligible Recipient	<p>By making the disclosure directly to any Eligible Recipient in person:</p> <p><u>SERV CEO or member of the Executive Leadership Team</u></p> <ul style="list-style-type: none"> via their SERV phone number or via their SERV email address. <p><u>SERV Board Chair</u></p> <ul style="list-style-type: none"> Cheryl Batagol (0418 574 924 or cheryl@batagol.com) <p><u>Chair of the SERV Audit & Risk Committee</u></p> <ul style="list-style-type: none"> Sam Andersen (0438 501 808 or sam@samandersen.com.au) <p><u>Other SERV Board Directors</u></p> <ul style="list-style-type: none"> Anna Leibel (0447 203 479 or anna@annaleibel.com)

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	Summary	Detail
		<ul style="list-style-type: none"> Scott Jendra (0419 765 159 or scott.jendra@gmail.com) Clark Butler (0409 332 444 or clark.butler@ironbarkgroup.com)
2	Via SERV's whistleblower email address	By contacting any Eligible Recipient via SERV's whistleblower email address: whistleblower@servictoria.com.au
3	Via SERV's independent service provider	By making a Protected Disclosure to SERV (including an anonymous disclosure) via our independent service provider (Deloitte) by: <ul style="list-style-type: none"> Website: www.SERVWhistleblower.deloitte.com.au; Telephone: 1800 961 706; Email: SERVWhistleblower@deloitte.com.au; or Post: Deloitte Whistleblowers Service, Reply paid 12628 A'Beckett Street, VIC 8006

3. Can a Protected Disclosure be made anonymously?

An **Eligible Whistleblower** can identify themselves or can make a **Protected Disclosure** anonymously.

Eligible Whistleblowers may also choose to remain anonymous throughout and after the disclosure and investigation process. An **Eligible Whistleblower** may also refuse to answer questions that they feel may reveal their identity.

However, if a **Protected Disclosure** is made anonymously, then this may impact SERV's ability to fully review and investigate the **Protected Disclosure**.

4. Who can receive a Protected Disclosure?

An **Eligible Whistleblower** can make a **Protected Disclosure** that may qualify for protection under Australian law to **Eligible Recipients**. The contact methods are set out in part 2 above.

Any SERV employee (who is not a **SERV Nominated Whistleblower Disclosure Officer**) who receives, or believes they may have received a **Protected Disclosure** must promptly inform the person who has made a disclosure to them that they should follow the process for making a **Protected Disclosure** set out in SERV's Policy to access protection.

5. How will Protected Disclosures be investigated?

Any **Protected Disclosure** made in accordance with this policy will be investigated by SERV as follows.

Stage	Description
1	<p>Upon receiving a disclosure, SERV will consider the information disclosed and determine whether:</p> <ul style="list-style-type: none"> the disclosure is a Protected Disclosure; and whether an investigation is required given the nature and circumstances of the disclosure. <p>Subject to law, confidentiality and the protections afforded to Eligible Whistleblowers, and where appropriate, SERV will provide updates on the progression of the matter at an appropriate frequency to Eligible Whistleblowers and/or to person(s) to whom the disclosure relates. Such updates may be made by the Whistleblower Protection Officer, subject to the</p>

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Stage	Description
	Identity Protection considerations set out in part 6 below.
2	<p>If SERV determines that it will need to investigate a Protected Disclosure, SERV will then determine:</p> <ul style="list-style-type: none"> the nature and scope of the investigation; the person(s) within and/or outside the entity that should lead the investigation; and the timeframe for the investigation. <p>In determining the above matters, SERV will have regard to the nature and seriousness of the Misconduct alleged.</p> <p>The objective of an investigation is to determine whether there is enough evidence to substantiate or refute any Misconduct which has been reported.</p>
3	<p>SERV will encourage Eligible Whistleblowers to remain in communication with SERV so that SERV can clarify information regarding their disclosure and provide updates.</p> <p>Subject to law, confidentiality and the protections afforded to Eligible Whistleblowers, and where appropriate, SERV will provide updates (at an appropriate frequency) on the progress of an investigation to Eligible Whistleblowers and/or to person(s) to whom the disclosure relates.</p> <p>If an Eligible Whistleblower has chosen to remain anonymous and has not provided a means for SERV to contact them, this may limit the investigation processes available to SERV and limit SERV's capacity to provide updates to the Eligible Whistleblower.</p>
4	<p>Where possible, SERV will advise the Eligible Whistleblowers of the support that is available to them (which may include access to EAP access) and the measures that will be put in place to protect their identity (if that has been revealed to SERV). This will include connecting the Eligible Whistleblower to the Whistleblower Protection Officer.</p>
5	<p>If it is determined as a result of the investigation that the disclosure is not protected by any law and was made maliciously, the person who made that disclosure could (if they are a SERV employee) be subject to disciplinary action up to and including termination of their employment.</p>
6	<p>The method for documenting and reporting the findings of any investigation will depend on the nature of the disclosure. Where it is appropriate to do so the outcome of the investigation will be notified to the Eligible Whistleblower.</p>

6. What protections are available for Eligible Whistleblowers?

Under the *Corporations Act 2001* (Cth) the following protections are available to **Eligible Whistleblowers** who make **Protected Disclosures**.

Provided an **Eligible Whistleblower** had reasonable grounds for their suspicion, they can still qualify for protection under the law, even if the information included in their disclosure turns out to be incorrect.

Area	Description
Identity Protection	Where an Eligible Whistleblower makes a Protected Disclosure , it is illegal for a person to disclose the identity, or information that is likely to lead to the identification of an Eligible Whistleblower . The exceptions to this are:

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Area	Description
	<ul style="list-style-type: none"> where the Eligible Whistleblowers identity is disclosed: <ul style="list-style-type: none"> to ASIC, APRA or a member of the Australian Federal Police; to a legal practitioner for the purposes of obtaining legal advice or legal representation about the whistleblower provisions in the <i>Corporations Act 2001</i> (Cth); to a person or body prescribed by law; or with the consent of the Eligible Whistleblower; where it is reasonably necessary for the purposes of completing an investigation to disclose details of the Protected Disclosure and SERV : <ul style="list-style-type: none"> has not identified the Eligible Whistleblower; and has taken all reasonable steps to reduce the risk of the Eligible Whistleblower being identified. <p>For example, SERV may endeavour to protect the identity of an Eligible Whistleblower by:</p> <ul style="list-style-type: none"> securely storing any records relating to the Protected Disclosure; where possible, redacting any references to the Eligible Whistleblower's identity and using gender neutral words in any documents; restricting access to any information about the Protected Disclosure to those who received the Protected Disclosure or need to be advised of, or involved in the investigation or management of the disclosure; and ensuring any persons who are notified of the Protected Disclosure are aware of the need to maintain identity protection and confidentiality. <p>SERV will take reasonable steps to protect the identity of the Eligible Whistleblower. However, it may be possible in some cases for the identity of the Eligible Whistleblower to be inferred.</p>
Protection from detrimental action	<p>If someone believes or suspects that an Eligible Whistleblower (or another person) may have made, or proposes to make, a Protected Disclosure, they must not threaten to, or engage in detrimental conduct towards the Eligible Whistleblower (or another person) because of that belief or suspicion. Examples of detrimental conduct includes:</p> <ul style="list-style-type: none"> discrimination, dismissal, alteration of employment terms to their disadvantage; harassment, intimidation or harm or injury to a person (including psychological harm); or damage to a person's property, business, financial position or reputation. <p>Detrimental action does not include reasonable action taken to protect an Eligible Whistleblower from detrimental action or actions taken with reasonable cause within SERV's performance management framework.</p>
Compensation and other remedies	<p>An Eligible Whistleblower may be entitled to seek compensation and other remedies through the courts if they suffer loss, damage or injury because of a Protected Disclosure and SERV failed to take reasonable precautions and exercise due diligence to prevent detrimental conduct. Eligible Whistleblowers may wish to seek independent legal advice in this regard.</p>

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Area	Description
Protection from Liability	<p>Eligible Whistleblowers who have made a Protected Disclosure are protected from civil, criminal or administrative liability (for example protection from claims for breach of an employment or other contract, prosecution for unlawful release of information or disciplinary action).</p> <p>However, an Eligible Whistleblower is not entitled to immunity for any Misconduct the Eligible Whistleblower has engaged in that is revealed in their Protected Disclosure.</p>

7. What support is provided to Eligible Whistleblower?

SERV will endeavour to support any **Eligible Whistleblower** who makes a **Protected Disclosure** by discussing and implementing appropriate measures to avoid victimisation. These measures may include:

- access to support services (including confidential counselling services) via SERV's Employee Assistance Program (EAP);
- considering ways an **Eligible Whistleblower** can perform their duties to protect them from risk of detriment;
- training for SERV managers in how to protect an **Eligible Whistleblower** from detrimental action; and/or
- undertaking a risk assessment of the likelihood of detrimental action and identifying and implementing risk controls.

Eligible Whistleblowers may also contact management or the **Whistleblower Protection Officer** to raise a concern or lodge a complaint about any detrimental action.

The **Whistleblower Protection Officer** is also responsible for ensuring that the protections listed in part 6 of this Policy are maintained throughout the process of SERV dealing with a **Protected Disclosure**, including in any investigation process and in the implementation of outcomes from any investigation.

8. What measures are taken for individuals mentioned in a Protected Disclosures?

SERV is committed to ensuring procedural fairness for employees and officers who are mentioned in a **Protected Disclosure**, including those who are the subject of a **Protected Disclosure**.

Consistently with this commitment SERV will take reasonable steps, where SERV considers it practical and appropriate in the circumstances, to ensure:

- disclosures are handled confidentially and as required by this Policy and the law;
- each disclosure is handled in accordance with this policy;
- an employee who is the subject of a **Protected Disclosure** will be advised about the subject matter of the **Protected Disclosure** where appropriate; and
- an employee who is the subject of a disclosure will have access to SERV's support services (e.g. EAP).

9. Who can I contact if I have questions about this policy?

If you have any questions in relation to this policy, you may contact a SERV Nominated Whistleblower Disclosure Officer or the SERV Human Resources team.

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Review Frequency

Every three years. Next review is due June 2028.

Referenced external documents

Document title
<ul style="list-style-type: none"> <i>Corporations Act 2001 (Cth)</i>

Referenced internal documents

Document number	Title
POL HR 010	Grievance Policy
POL HR 001	Appropriate Behaviour in the Workplace Policy
POL HR 015	Performance and Conduct Policy

Change History

Version number	Effective date	Summary of change
1.0	Jan 2019	Policy Launch
2.0	Jan 2020	Updated to reflect regulatory changes
2.1	Nov 2020	Updated to reflect new Eligible Recipients
2.1	May 2021	Updated to reflect new Eligible Recipients
2.2	Aug 2021	Updated to narrow scope of Eligible Recipients and transfer responsibility of policy from General Manager, HR to General Manager, Corporate & Strategy.
3.0	Oct 2023	Policy refreshed to make it easier to read and to better align the Company's obligations with the legislative requirements.
3.1	June 2025	Updated Policy owner and inclusion of the Whistleblower Protection Officer position.

Approvals and Policy Owner

Author(s)	General Manager, Human Resources Head of Risk & Compliance General Manager, Legal & Secretariat
Approver(s)	Management Risk Committee
Final Approver	SERV Board
Owner	General Manager, Human Resources

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