

WHISTLEBLOWER POLICY

PURPOSE

EMVision Medical Devices Limited (ACN: 620 388 230) (“EMVision”) is committed to the highest standards of conduct and ethical behaviour in all of our business activities, and to promoting and supporting a culture of honest and ethical behaviour, corporate compliance and good corporate governance.

EMVision encourages the reporting of any instances of suspected unethical, illegal, fraudulent or undesirable conduct involving EMVision’s businesses, and will ensure that those persons who make a report shall do so without fear of intimidation, disadvantage or reprisal.

WHAT IS REPORTABLE CONDUCT?

You may make a report under this policy if you believe that a EMVision director, officer, employee, contractor, supplier, tenderer or other person who has business dealings with EMVision has engaged in conduct (Reportable Conduct) which:

- is dishonest, fraudulent or corrupt activity, including bribery or other activity in breach of the EMVision Anti-Bribery Policy;
- is illegal activity (such as theft, drug sale or use, violence, harassment or intimidation, criminal damage to property or other breaches of state or federal law);
- is unethical or in breach of EMVision’s policies (such as dishonestly altering company records or data, adopting questionable accounting practices or wilfully breaching EMVision’s Code of Conduct or other policies or procedures);
- is potentially damaging to EMVision, a EMVision employee or a third party, such as unsafe work practices, environmental damage, health risks or abuse of EMVision property or resources;
- amounts to an abuse of authority;
- may cause financial loss to EMVision or damage its reputation or be otherwise detrimental to EMVision’s interests;
- involves harassment, discrimination, victimisation or bullying; or
- involves any other kind of serious impropriety.

There special protections available to whistleblowers who disclose conduct which may breach the Corporations Act.

WHO CAN I MAKE A REPORT TO?

EMVision has several channels for making a report if a person becomes aware of any issue or behaviour which he or she considers to be Reportable Conduct:

You may raise the matter with your immediate supervisor, manager or another senior supervisor.

A supervisor in receipt of a report must take the matter to a Protected Disclosure Officer or a senior executive, in accordance with the protocols regarding confidentiality set out below.

EMVision’s employees or contractors working within a EMVision team may also report directly to a Protected Disclosure Officer, as outlined below.

Any person may make a report to any of the following Protected Disclosure Officers:

Non-Executive Director Phone:
Tony Keane Email: tkeane@emvision.com.au

Reports may also be made by post to C/- BDO (QLD) PTY LTD, LEVEL 10 , 12 CREEK STREET , BRISBANE QLD 4000

A report may be submitted anonymously if you do not wish to disclose your identity to the Chairman.

INVESTIGATION OF REPORTABLE CONDUCT

EMVision will investigate all matters reported under this Policy as soon as possible after the matter has been reported. A Protected Disclosure Officer may, with the whistleblower's consent, appoint a person to assist in the investigation of a matter raised in a report. Where appropriate, EMVision will provide feedback to the whistleblower regarding the investigation's progress and/or outcome (subject to considerations of the privacy of those against whom allegations are made).

The investigation will be conducted in an objective and fair manner, and otherwise as is reasonable and appropriate having regard to the nature of the Reportable Conduct and the circumstances.

PROTECTION OF WHISTLEBLOWERS

EMVision is committed to ensuring confidentiality in respect of all matters raised under this policy, and that those who make a report in good faith are treated fairly and do not suffer any disadvantage.

(a) Protection of your identity and confidentiality

Subject to compliance with legal requirements, upon receiving a report under this Policy, EMVision will not, nor will any supervisor, manager or Protected Disclosure Officer, disclose any particulars that would suggest or reveal your identity as a whistleblower, without first obtaining your consent.

Any disclosure that you consent to will be disclosed on a strictly confidential basis. However, the Protected Disclosure Officer is able to disclose the complaint without your consent to ASIC, APRA or the Australian Federal Police.

(b) Protection of files and records

All files and records created from an investigation will be retained under strict security and unauthorised release of information to someone not involved in the investigation (other than senior managers or directors who need to know to take appropriate action, or for corporate governance purposes) without your consent as a whistleblower will be a breach of this policy.

Whistleblowers are assured that a release of information in breach of this policy will be regarded as a serious matter and will be dealt with under EMVision's disciplinary procedures.

(c) Fairness

A EMVision employee or contractor within a EMVision team who is subjected to detrimental treatment as a result of making a report in good faith under this policy should inform a senior supervisor immediately. If the matter is not remedied, it should be raised in accordance with the procedures outlined in this policy.

Detrimental treatment includes dismissal, demotion, harassment, discrimination, disciplinary action, bias, threats or other unfavourable treatment connected with making a report.

The Corporations Act 2001 (Cth) also gives special protection to disclosures about breaches of that Act, as long as certain conditions are met.

DUTIES OF EMPLOYEES IN RELATION TO REPORTABLE CONDUCT

It is expected that employees of EMVision who become aware of known, suspected, or potential cases of Reportable Conduct will make a report under this policy or under other applicable policies.

GROUP REPORTING PROCEDURES

Protected Disclosure Officers will report to the Board on the number and type of whistleblower incident reports annually, to enable EMVision to address any issues.

These reports will be made on a 'no names' basis, maintaining the confidentiality of matters raised under this policy.

The Audit and Risk Committee will receive copies of all whistleblower reports from Protected Disclosure Officers. In addition, serious and/or material Reportable Conduct will be considered by the Protected Disclosure Officers for immediate referral to the Chairman of the Audit and Risk Committee.

AMENDMENT OF THIS POLICY

This policy cannot be amended without approval from the EMVision Group Board of Directors. It will be reviewed from time to time to ensure that it remains effective and meets best practice standards and the needs of EMVision Group.

LAST AMENDED

November 2019