

Supplier Speak Up Policy

Purpose

Our suppliers are a top priority at Woolworths Group. This is why we strive to create a supportive environment that ensures everyone can feel valued, respected and have the opportunity to thrive. As part of this, one of our core values is that we always do the right thing - by acting with integrity, honesty and trust at all times. If you see or experience something that's not right, it's important that you speak up.

We encourage you to raise concerns you have with your buyer or category manager. However, we understand you may not always want to raise matters that way for reasons including:

- you feel that raising the issue could result in adverse consequences;
- you feel that, if you raised the matter through those channels, it may not be dealt with objectively; or
- the matter has already been raised through those channels, but you think it has not been addressed appropriately.

Our Supplier Speak Up service offers an independent avenue (external to Woolworths Group) where you can confidentially raise the matters listed below.

Who can use Supplier Speak Up?

Our Supplier Speak Up service is available to any supplier, contractor¹, or consultant, as well as their relatives and dependants, which provides goods or services to the Woolworths Group in Australia or overseas. This group is referred to as 'you' in this policy.

What can you use Supplier Speak Up for?

You can use the Supplier Speak Up service to raise serious matters you don't feel comfortable raising through normal internal channels, including any concerns about:

- Breach of the Food and Grocery Code of Conduct
- Fraud, bribery, money laundering, corruption, secret commissions, or behaviour that threatens others
- Risk to people or product safety
- Breach of law, including theft, restrictive, unconscionable, or anti-competitive trade practices
- Breach of Woolworths Group Responsible Sourcing Policy
- Conflicts of interest
- An improper state of affairs or circumstances, or misconduct, in relation to Woolworths Group or one of its related entities
- Improper use of confidential information
- Violation of human rights, such as the issues outlined in the Responsible Sourcing Policy

¹ including farm workers, trolley collectors, and cleaners

The concerns you raise should be legitimate and have a proper basis. Before contacting the Speak Up service, you should have reasonable grounds to suspect that the information you will provide indicates that one of the above matters is occurring or has occurred.

Some of the matters listed above may also be a "disclosable matter" under the *Corporations Act 2001* (Cth) (Corporations Act) or *Taxation Administration Act 1953* (Cth) (Tax Act). If so, and you meet specific requirements, you may receive additional protections under those laws, and your report is known as a "**protected disclosure**". Such disclosures cannot be made through the Speak Up service: set out in Annexure A (for Australia) and Annexure B (for New Zealand) is further information on protected disclosures and how to make them to Woolworths Group.

Confidentiality and anonymity

You can choose to remain anonymous or to reveal your identity at the time of (or after) making a Speak Up report or a protected disclosure. In either case the Speak Up system, an anonymous email address, or a pseudonym you may choose will assist Woolworths Group in seeking further information and clarity from you. During such conversations, you can choose not to answer any follow-up questions, if you feel it could reveal your identity. In some cases, anonymity may limit the ability to investigate and deal with the matter.

The information you provide (including your identity) will be stored securely in access-controlled systems, and will not be shared without your consent unless it is reasonably necessary for managing and investigating the issues raised in your report.

Report handling and investigation process

Once a report is received, Woolworths Group's external Speak Up service provider will assess the report and provide appropriate details to the Woolworths Group Speak Up Manager or their delegate. Woolworths Group will assess reports it receives to determine applicable protections, triage, review, and allocation for investigation as appropriate.

We will investigate a Supplier Speak Up report or a protected disclosure where sufficient information is provided to warrant an investigation. The objective of an investigation is to determine whether there is enough evidence to substantiate the matters reported. Investigations will follow fair and due process without bias. They will typically be conducted by an investigator independent of the relevant business involved, and allow any persons against whom allegations are made an opportunity to respond. In some cases, an investigator external to the Woolworths Group will be engaged (for example, due to a potential conflict of interest or the seniority of those involved).

The duration of a formal investigation will depend on the circumstances including the number of allegations, witnesses and other factors.

Where a protected disclosure is investigated, the confidentiality requirements in the Corporations Act and Tax Act will apply, as explained in Annexure A.

Woolworths Group's Speak Up Manager, or the external Speak Up provider, will acknowledge receipt of your report and provide regular progress updates. The nature of the updates will

depend on the circumstances. For example, we will not provide information that may compromise the investigation or the disclosure of confidential information. You will be informed when the investigation has been completed, but will not routinely receive details on findings into each of your allegations.

Anyone involved in an investigation, whether as an investigator, witness or decision maker, must treat information related to the investigation as confidential.

How to make a Supplier Speak Up report

- **Telephone**
 - Australia 1800 772 173 (Supplier Speak Up)
 - Australia 1800 4GROCERY (1800 447623) (Grocery Code reporting line)
 - New Zealand 0800 393 76736
 - Hong Kong 800-96-0016
 - China 400-6-612-693
 - India 000-117; at the prompt dial (844) 476-9151
 - Thailand 1800-013-018

- **Online** WoolworthsSpeakUp.ethicspoint.com

What protections do you have if you use Supplier Speak Up?

If you use the Speak Up service, we're committed to protecting you, including against adverse consequences or victimisation as a result of raising a matter, and by protecting your identity and maintaining confidentiality. Any team member who discloses your identity inappropriately, or causes detriment to you, may face disciplinary action, up to and including termination.

If you feel that you have been victimised as a result of raising a Speak Up report, you may

- raise a new Speak Up report for this purpose,
- contact Woolworths Group's Whistleblower Protection Officer (WPO) at WPOfficer@Woolworths.com.au. The WPO is independent of the investigation process, and equipped to review or escalate your concern.

Governance

- The Chief Legal Officer (CLO) oversees the Supplier Speak Up program to ensure objectivity and independent review. Group Compliance reports and advises on the status and nature of issues being raised.
- The CLO, Chief People Officer (CPO) and other senior leaders including representatives from Group Compliance comprise a Speak Up Governance Committee. It meets at least every six months to review the effectiveness of the service, to help ensure consistency in process and outcomes, and to make relevant recommendations.
- This policy is Woolworths Group Limited's whistleblower policy for the purpose of the Corporations Act 2001. It also applies to all related bodies corporate as defined in that Act.

- This policy will be published on the Woolworths Group website and reviewed regularly.

Where to get more information

For more information on Speak Up visit the ‘issue resolution’ section on our partner hub on partnerhub.woolworthsgroup.com.au.

If you wish to seek additional information before formally making a report, including any further advice about protected disclosures in the Annexures, you may contact Woolworths Group’s Whistleblower Protection Officer (WPO) at WPOfficer@Woolworths.com.au.

Policy Changes	This policy may be changed at any time, and does not form part of any team member’s contract of employment.
Date approved:	3 June 2020
Date effective:	January 2021
Accountable:	Chief Legal Officer (CLO)
Contact:	GroupCompliance@woolworths.com.au
Related policies:	Team Member Speak Up policy
Publishing	This policy will be made available through the Woolworths Group Internet site and a link on the supplier portal ‘ <i>Partnerhub</i> ’

Annexure A - Legal protections under the Australian Corporations Act and Tax Act

In Australia, you can make a "protected disclosure" if:

1. you are an "eligible whistleblower";
2. you make a disclosure directly to a person or entity who is eligible to receive a protected disclosure; and
3. you have reasonable grounds to suspect your disclosure is about a "disclosable matter".

Protected disclosures are also disclosures of information to a legal practitioner for the purposes of obtaining legal advice or legal representation about the operation of the whistleblower provisions in the Corporations Act and Tax Act.

Making a "protected disclosure" means that you will qualify for relevant legal protections under the Corporations Act or Tax Act (where applicable) from the time you make the disclosure, in addition to the protections that you would receive under this policy if you use Supplier Speak Up. The protections apply even if you make your disclosure anonymously, and even if you or the recipient do not recognise that the disclosure qualifies for protection. The protections also apply if your disclosure turns out to be unsubstantiated, as long as you had reasonable grounds to suspect the subject of the disclosure at the time you made it.

Note that the protections do not grant immunity for any misconduct you have engaged in that is revealed in your disclosure or subsequently discovered.

A. How do I make a protected disclosure?

The requirements for making a protected disclosure on or after 1 July 2019 under the Corporations Act or Tax Act are set out below:

1. You must be an "eligible whistleblower"

An "eligible whistleblower" who may make a protected disclosure under the Australian whistleblower laws is anyone who is or has been in respect of an Australian Woolworths Group company:

- a. an officer;
- b. an employee;
- c. an individual who supplies goods or services, and employees of suppliers (whether paid or unpaid);
- d. an individual who is an associate of the company;
- e. either:
 - in relation to the Corporations Act, a spouse or relative, dependent, or dependent of a spouse of any of the above individuals; or
 - in relation to the Tax Act, a spouse, child, dependent, or spouse of a dependent, of any of the above individuals.

2. You must make the disclosure to someone authorised to receive a protected disclosure

The Speak Up service is not an authorised way of making a protected disclosure.

Reporting within the Woolworths Group

Woolworths Group encourages protected disclosures to be made to one of the below appointed Protected Disclosure Officers in the first instance.

Title	Name	Email	Telephone
Chief People Officer	Caryn Katsikogianis	PD4CPO@woolworths.com.au	1800 PD4CPO (1800 734 276)
Chief Legal Officer	Bill Reid	PD4CLO@woolworths.com.au	1800 PD4CLO (1800 734 256)
Chief Financial Officer	Stephen Harrison	PD4CFO@woolworths.com.au	1800 PD4CFO (1800 734 236)

However, if you feel uncomfortable reporting a matter to one of the above persons, protected disclosures may also be made to Woolworths Group through one of the following in person, via email or telephone:

- a. an officer or senior manager of an Australian Woolworths Group company;
Note: 'officers' include a Woolworths director or company secretary; A 'senior manager' is a person whose decisions affect at least a substantial part of Woolworths, or have the capacity to significantly affect Woolworths' financial standing.
- b. an auditor, or a member of an audit team conducting an audit, of a Woolworths Group company; or
- c. an actuary of a Woolworths Group company.

In addition to the above, for disclosures under the Tax Act:

- any other employee or officer of a Woolworths Group company who has functions or duties that relate to the tax affairs of the Woolworths Group company; or
- a registered tax agent or BAS agent who provides tax agent services or BAS services to a Woolworths Group company.

The Speak Up service is not an authorised way of making a protected disclosure.

Reporting outside of the Woolworths Group

While Woolworths' encourages eligible whistleblowers to make disclosures internally, an eligible whistleblower may also make a protected disclosure under the Corporations Act to the Australian Securities and Investments Commission (ASIC), the Australian Prudential Regulation Authority (APRA) or a prescribed Commonwealth authority.

An eligible whistleblower may also make a protected disclosure under the Tax Administration Act to the Commissioner of Taxation.

The Speak Up service is not an authorised way of making a protected disclosure.

Disclosures to legal practitioners

Under the Corporations Act and Tax Act disclosures of information to legal practitioners in order to obtain legal advice or legal representation in relation to the whistleblower provisions in that legislation also are protected disclosures.

Public interest disclosures

There is an additional category of disclosures called 'public interest disclosures' that qualify for protection under the Corporations Act only. These can be made to journalists and members of Parliament, but only if the eligible whistleblower complies with the following strict requirements:

- a. the eligible whistleblower must have first made a qualifying disclosure under the Corporations Act to ASIC, APRA, or a prescribed Commonwealth authority;
- b. at least 90 days has passed since the qualifying disclosure was made;
- c. the eligible whistleblower does not have reasonable grounds to believe that action is being, or has been, taken to address the matters to which the qualifying disclosure related;
- d. the eligible whistleblower has reasonable grounds to believe that making a public interest disclosure would be in the public interest;
- e. after 90 days has passed, the eligible whistleblower must give the body to which the qualifying disclosure was originally made, a written notification that:
 - i. includes sufficient information to identify the qualifying disclosure; and
 - ii. states that the eligible whistleblower intends to make a public interest disclosure; and
- f. the extent of the information disclosed in the public interest disclosure is no greater than to inform the journalist or member of Parliament of the misconduct or improper state of affairs or circumstances, or other conduct falling within the scope of the Whistleblower Protection Scheme.

Emergency disclosures

There is an additional category of disclosures called 'emergency disclosures' that qualify for protection under the Corporations Act only. These can be made to journalists and members of Parliament, but only if the eligible whistleblower complies with the following strict requirements:

- a. the eligible whistleblower must have first made a protected disclosure under the Corporations Act to ASIC, APRA or a prescribed Commonwealth authority;
- b. the eligible whistleblower has reasonable grounds to believe that information concerns a substantial and imminent danger to the health or safety of one or more persons or to the natural environment;
- c. the eligible whistleblower gave notice to the body to which the qualifying disclosure was made that states:
 - i. that they intend to make an emergency disclosure; and
 - ii. includes sufficient information to identify the qualifying disclosure; and
- d. the extent of the information disclosed in the emergency disclosure is no greater than is necessary to inform the journalist or member of Parliament of the substantial and imminent danger.

Before making a public interest or emergency disclosure, it is important that an eligible whistleblower understands the criteria for protection under the relevant legislation.

3. Your disclosure must be about a "disclosable matter"

Only disclosures of certain types of information will qualify for protection under the Australian whistleblower laws.

Information is a "disclosable matter" under the Corporations Act if the eligible whistleblower has reasonable grounds to suspect that the information disclosed:

- a. concerns misconduct or an improper state of affairs or circumstances in relation to a Woolworths Group company. Misconduct may include
 - a. illegal conduct by Woolworths Group, such as theft, dealing in, or use of illicit drugs, violence or threatened violence, and criminal damage against property;
 - b. fraud, money laundering or misappropriation of funds;
 - c. offering or accepting a bribe;
 - d. financial misstatement or irregularities;
 - e. failure to comply with, or breach of, legal or regulatory requirements; and
 - f. engaging in or threatening to engage in detrimental conduct against a person who has made a disclosure or is believed or suspected to have made, or be planning to make, a disclosure.
 - g. negligence,
 - h. breach of trust and breach of duty (not just the personal conduct of an individual);
- b. indicates that a Woolworths Group company or any employee or officer has engaged in conduct that:
 - i. constitutes an offence against, or a contravention of, a provision of any of the following:
 - the Corporations Act;
 - the Australian Securities and Investments Commission Act 2001;
 - the Banking Act 1959;
 - the Financial Sector (Collection of Data) Act 2001;
 - the Insurance Act 1973;
 - the Life Insurance Act 1995;
 - the National Consumer Credit Protection Act 2009;
 - the Superannuation Industry (Supervision) Act 1993;
 - ii. constitutes an offence against any other law of the Commonwealth that is punishable by at least 12 months' imprisonment;
 - iii. represents a danger to the public or the financial system; or
 - iv. is prescribed by any regulations made under the Corporations Act.

Except in certain circumstances, personal work-related grievances (will not be protected under the Corporations Act unless they relate to victimisation (see section 3 of part B below).

A disclosure is a 'personal work-related grievance' if:

- a. it concerns the whistleblower's employment and has implications for them personally; and
- b. the information:

- i. does not have significant implications for an Australian Woolworths Group company, or another regulated entity, that do not relate to the eligible whistleblower; and
- ii. does not concern conduct, or alleged conduct, referred to at 3(b) above of this Annexure

Examples of personal work-related grievances that do not qualify for protection may include:

- the eligible whistleblower having an interpersonal conflict within the workplace;
- the eligible whistleblower (only) being bullied;
- the eligible whistleblower being inadvertently underpaid once;
- the eligible whistleblower being subjected to discipline or not receiving a promotion; or
- any matters that don't have significant implications for Woolworths Group as a whole, unless they relate to the eligible whistleblower being victimised for making a previous protected disclosure.

A personal work-related grievance may still qualify for protection if:

- it relates to a disclosable matter and a personal work related grievance (ie, it is a mixed disclosure); or
- the eligible whistleblower seeks legal advice or legal representation about the operation of the whistleblower protections under the Corporations Act.

Information is a "disclosable matter" under the Tax Act if:

- a. the eligible whistleblower has reasonable grounds to suspect that the information concerns misconduct or an improper state of affairs or circumstances in relation to tax affairs of a Woolworths Group company or an associate of a Woolworths Group company; or
- b. the eligible whistleblower considers that the information may assist the eligible recipient to perform functions or duties in relation to the tax affairs of a Woolworths Group company or an associate of a Woolworths Group company.

B. What are the legal protections that apply if I make a protected disclosure?

If you have made a protected disclosure under the Australian whistleblower laws, the protections outlined in this policy will apply as well as the following additional legal protections:

1. Protection from Legal Action

Eligible whistleblowers who make a protected disclosure under the Australian whistleblower laws are protected from certain legal action in relation to having made the disclosure, including:

- any civil, criminal, and administrative (including disciplinary) action against the whistleblower; and
- contractual action, including termination of a contract on the basis that making a disclosure is a breach of that contract.

Any information that is disclosed as part of a protected disclosure to either:

- ASIC, APRA or a prescribed Commonwealth authority, under the Corporations Act; or
- The Commissioner of Taxation, under the Tax Administration Act,

will not be admissible in evidence against the whistleblower in criminal proceedings or in proceedings for the imposition of a penalty, except for proceedings in respect of the falsity of the information.

2. Protection of your identity

If you make a protected disclosure, and in doing so, reveal your identity (or information by which you can likely be identified), a person must not disclose your identity or identifying information without your consent (subject to the exceptions set out below).

If an eligible whistleblower makes a protected disclosure, it is likely that the eligible whistleblower will be asked to provide consent to the disclosure of their identity. This would be to facilitate any investigation and/or resolution of the matter. If consent is withheld, it may not be possible to adequately investigate and respond (if at all) to the disclosure.

If an eligible whistleblower does not consent to their identity being disclosed, it will still be lawful to disclose their identity to:

- ASIC, APRA, the AFP or the Commissioner of Taxation (in relation to protected disclosures under the Tax Act);
- a legal practitioner for the purposes of obtaining legal advice or legal representation about the disclosure; or
- a body prescribed by the Corporations Regulations.

It will also be lawful to disclose information (other than your identity) which you share that may lead to your identity becoming known if it is reasonably necessary in order to investigate the issues raised, in which case we will take all reasonable steps to protect your identity.

ASIC, APRA or the AFP can disclose the identity of an eligible whistleblower, or information that is likely to lead to the identification of the eligible whistleblower, to a Commonwealth, State or Territory authority to help the authority in the performance of its functions or duties.

As set out in the body of the Policy disclosures can be made anonymously. Such disclosures are still capable of being protected under the Corporations Act and Tax Act.

Woolworths Group seeks to protect the confidentiality of an eligible whistleblower's identity, including by:

- storing information about a disclosure securely;
- redacting the whistleblower's identity from relevant documents; and
- only sharing the whistleblower's identity with those who have a legitimate need to know, subject to the consent provided by the whistleblower.

3. Prohibition against victimisation

It is unlawful for a person or a company to:

- engage in any conduct that causes, or will cause, any detriment; or
- make a threat to cause any detriment (whether express, implied, conditional or unconditional),

to an eligible whistleblower or another person because the person engaging in the conduct believes or suspects that the other person or a third person made, may have made, proposes to make, or could make, a protected disclosure. This includes where such belief/suspicion was only part of the reason why the action is taken.

“Detriment” includes dismissal, disciplinary action, harassment, discrimination, property damage, reputational damage and other types of damage to a person. “Detriment” does not include administrative action that is reasonable to protect you from detriment (e.g. when the disclosure relates to wrongdoing in your immediate work area). Protecting you from detriment also does not prevent Woolworths Group from managing unsatisfactory work performance.

Each protected disclosure is assessed upon receipt to determine the risk of detriment against you and other persons mentioned in the report. Appropriate actions are taken to reduce this risk, and to ensure fair treatment of those mentioned in the disclosure, including respondents.

To protect you from the risk of detriment, eligible recipients have been trained to ensure they are aware of their responsibilities to seek to ensure your confidentiality and that you are not victimised for making the disclosure. Additionally, Woolworths Group may, on a case-by-case basis, allow you to perform your duties from another location or in another role at the same level, or make other modifications to your workplace or the way you perform your work duties, or reassign or relocate other staff involved in the disclosable matter.

Woolworths Group will investigate allegations of such behaviour, and penalties and/or disciplinary action may apply for engaging in any of the conduct referred to above. Any person involved in the contravention may be found liable. If detriment is found to have occurred, Woolworths Group may, on a case-by-case basis, allow you to take extended leave, develop an alternative career development plan, or offer compensation or other remedies.

If you believe you suffer, or are threatened with, detriment in contravention of the Australian whistleblower laws, you may

- raise a further protected disclosure by following the steps set out above
- raise a Speak Up report for this purpose (note, disclosures made to the Speak Up service are not protected disclosures),
- contact Woolworths’ Whistleblower Protection Officer (WPO) on WPOfficer@Woolworths.com.au. The WPO is independent of the investigation process, and equipped to review or escalate your concern.

Court Orders

Courts are given broad scope to make orders remedying a detriment or threatened detriment. These include injunctions, compensation orders (including against individual employees and their employer), reinstatement, exemplary damages and the making of apologies. Civil and criminal sanctions also apply to breaches of the Corporations Act and Tax Act.

C. Handling and investigating a disclosure

If a protected disclosure is made, it will be provided to the Woolworths Group Speak Up Manager or their delegate, subject to confidentiality requirements that may apply.

Protected disclosures will be investigated in the same way as other disclosures made under this Policy. The timeframe for investigations of protected disclosures will be different depending on the nature and scope required. However, Woolworths Group's intent is to complete an investigation as soon as practicable.

Where appropriate, Woolworths Group will report findings of an investigation to the Chief Legal Officer. The method for documenting and reporting the findings of an investigation will depend on the nature of the disclosure and the circumstances. Reporting of findings will have regard to applicable confidentiality requirements.

Annexure B – Legal Protections in New Zealand

New Zealand has its own whistleblower legislation, the *Protected Disclosure Act 2000 (NZ legislation)*, which outlines how your disclosure of information may qualify as a ‘protected disclosure’ and what additional legislative protections you will receive if you make a protected disclosure in New Zealand.

Can I make a protected disclosure?

You can make a protected disclosure about Woolworths under the NZ legislation if you are:

- an employee of Woolworths;
- a former employee of Woolworths;
- a person seconded to Woolworths; or
- an individual engaged by or contracted under a contract for services to do work for Woolworths.

Will my disclosure be protected under the NZ Legislation?

Your disclosure will be protected if:

- the information is about a serious wrongdoing in or by Woolworths;
- you reasonably believe the information is true or likely to be true; and
- you want the serious wrongdoing to be investigated.

A ‘serious wrongdoing’ includes any of the following:

- an act, omission, or course of conduct that constitutes a serious risk to public health or public safety or the environment;
- an act or omission, or course of conduct that constitutes a serious risk to the maintenance of law, including the prevention, investigation and detection of offences and the right to a fair trial; and
- an act or omission, or course of conduct that constitutes an offence.

How can I make a protected disclosure?

To make a protected disclosure, you must disclose information in the manner outlined by Woolworths in this policy.

The following individuals have been appointed as the main protected disclosure recipients for Woolworths New Zealand for the purposes of the Protected Disclosures Act:

Title	Name	Email	Telephone
General Counsel, Woolworths New Zealand	James Radcliffe	PD4GENC@countdown.co.nz	0800 PD4GENC (0800 734436)
General Manager, Culture and People, Woolworths New Zealand	Pauline d’Unienville	PD4GMHR@countdown.co.nz	0800 PD4GMHR (0800 734464)

If you have made a protected disclosure of information in New Zealand, then the protections outlined in this policy about Supplier Speak Up reports will apply to you as well as the following additional legal protections:

1. Personal Grievance

Where you have made a protected disclosure, the NZ legislation provides protection from retaliatory action, for example from dismissal.

2. Immunity from civil and criminal proceedings

Where you have made a protected disclosure, the NZ legislation prevents civil, criminal or disciplinary proceedings being taken against you for the reason that you made a protected disclosure.

3. Confidentiality

The NZ legislation requires protected disclosures to be kept confidential. Every person, to whom a protected disclosure is made or referred, must use their best endeavours to not disclose information that might identify you, unless:

- you consent in writing to the disclosure of the information; or
- the disclosure of identifying information is essential to effectively investigate your concern, or necessary to prevent serious risk to public health or public safety or the environment; or
- the disclosure of identifying information is essential having regard to the principles of natural justice.