

Protected Disclosure Policy (Whistleblowing)

1. Introduction and Purpose

This policy and process is designed to ensure that people can raise concerns regarding actual or suspected wrongdoing with regard to ethical, clinical, professional and legal standards without fear of reprisal or feeling threatened by doing so.

The policy aims to facilitate disclosure of questionable practices, encourage proper individual conduct and alert appropriate Senior Management of potential problems before they have serious consequences. This policy aims to support and reinforce Green Cross Health's core values, Professional and Clinical Standards, and the Respect in Workplace Policy.

Along with other policies and processes to identify and manage risk, improve quality and compliance, this policy will be published openly to communicate to all employees the procedures for submitting allegations of concern. If an employee or any other person has an allegation, such persons are encouraged to report these complaints or concerns to OCP or the appropriate team members.

2. What Could Be Reported

For the purposes of making a report under this policy, this is subject to instances of serious wrongdoing, matters may include, but are not limited to, any actual or suspected:

- Conduct or practices which are dishonest, illegal or breach any law;
- Breach of any company policy including the GXH's code of conduct and ethics;
- Breach of professional clinical standards and ethics;
- Breach of patient confidentiality;
- Breach of the pharmacist, clinician or nursing standard of behaviour or treatment of patients;
- Bullying or harassment;
- Inappropriate accounting, internal accounting controls or auditing matters;
- Corrupt activities;
- Theft, fraud or misappropriation of assets;
- Significant mismanagement or waste of funds or resources;
- Abuse of authority; or
- Any action which is a serious risk to public or individual health and safety or the environment

Green Cross Health considers and will take such allegations seriously. It equally expects and assumes that allegations are made in good faith, and the person making the allegation has reasonable grounds for making the allegation.

3. How to Report

Concerns may be communicated by any of the following means:

1. Via an independent and externally hosted telephone line managed by professionals:
Pharmacy/Medical: OCP Ph: 0800 377 990 Web: www.ocp.co.nz
2. By email to protecteddisclosure@gxh.co.nz
3. By contacting a senior member of the Human Resources team
4. By contacting a member of Senior Management



All allegations received will be forwarded to the divisional Human Resources Manager (unless the allegation involves them, in which case that role will be excluded from the forward), who will then consider whether to escalate to the Group CEO.

The Human Resources Manager will then discuss and decide the appropriate action to take to investigate and validate the allegation. They may request special treatment of any allegation, including the retention of outside counsel, accountants, or other advisors.

At the time of making the disclosure, the complainant is encouraged to disclose his or her identity and the identity of the person or persons whom the employee believes to be involved in the serious wrongdoing and must specify the nature of the wrongdoing. All complainant identities will be held confidentially until full disclosure is received.

Green Cross Health encourages all disclosures to be raised through the means outlined above, however, you may contact an appropriate external agency such as the Human Rights Commission, the Ombudsman or Ministry of Health at any time during the process if you are unhappy with the response from GXH. Please refer to schedule 1 for a full list of external agencies who may be contacted.

4. Process

Current and former employees and non-employees may submit an allegation they wish to be investigated if they believe on reasonable grounds that the information disclosed is true or likely to be true.

An allegation should include enough information about the incident or situation to allow Green Cross Health to investigate it properly. Should the complainant wish to retain protected disclosure, he or she may send or discuss the complaint in a way that does not reveal his or her identity.

During the investigation, the identity of the complainant must be kept confidential if at all possible, unless the complainant has agreed to have his or her identity revealed, or this is essential for the purposes of the investigation, or to prevent serious risk to public health or safety, or to comply with the principles of natural justice.

Should, however, the complainant wish to co-operate in further investigation of the complaint, he or she should submit his or her name and contact details together with the complaint. If the complainant identified him or herself in the report, both parties of an investigation might contact him or her to ask for further information about the matters reported in the complaint.

Every report of a possible violation, compliance concern, complaint or other information relating to an allegation will be retained in written or electronic form.

5. Protection from Retaliation

Green Cross Health acknowledges that employees making disclosures may be concerned about reprisals, discriminations and harassment. GXH is committed to minimising those possibilities, as much as possible, with the following:

- Protection of the identity of the person making the disclosure.
- Protection from personal disadvantage for having made the disclosure where the discloser has acted in good faith and has not engaged in misconduct or illegal activities or made a malicious disclosure.



- Protection from victimisation for having made the disclosure.
- A complainant is not protected, however, if the information disclosed is protected by legal privilege.

GXH intends to investigate thoroughly any report, concern or complaint made in good faith that it receives relating to a suspected violation. Every director or employee will be required to cooperate in internal investigations of misconduct or unethical behaviour.

6. Amendments

GXH reviews its policies regularly to ensure compliance with applicable law and conformity with industry practice. Therefore, this policy may be amended, modified or waived at the discretion of GXH in accordance with applicable law and regulation.

7. Relevant Law

Protected Disclosures (Protection of Whistleblowers) Act 2022
Employment Relations Act 2000
Health and Safety at Work Act 2015
Human Rights Act 1993
Harassment Act 1997
Privacy Act 2020

8. Publication

8.1 This policy is available on the company website www.greencrosshealth.co.nz.

Schedule 1

Examples of concerns and examples of appropriate authorities

Nature of concerns

Anticompetitive conduct
 Banks (registered banks)
 Bullying or harassment, including sexual harassment

 Charities

 Child welfare and child protection

 Consumer protection
 Crime

 Discrimination
 Education service

 Energy safety

 Environment

 Financial reporting (private sector—issuers and large companies)
 Financial reporting (public sector)
 Financial service providers' conduct
 Health

 Health and safety (work-related)

 Housing

 Insurers (licensed insurers)
 Intelligence and security or classified information

 International relations
 Local Government

 Police

Appropriate authority

Commerce Commission
 Reserve Bank of New Zealand
 WorkSafe New Zealand (where work-related)
 Human Rights Commission
 Department of Internal Affairs
 Solicitor-General
 Oranga Tamariki—Ministry for Children
 Ombudsman
 Commerce Commission
 Commissioner of Police
 Director of the Serious Fraud Office
 Human Rights Commission
 Ministry of Education
 Education Review Office
 WorkSafe New Zealand (where work-related)

 Ministry for the Environment
 Department of Conservation
 Financial Markets Authority

 Controller and Auditor-General
 Financial Markets Authority
 Ministry of Health
 Health and Disability Commissioner
 Ministry of Business, Innovation, and Employment
 WorkSafe New Zealand
 Ministry of Housing and Urban Development
 Ombudsman
 Reserve Bank of New Zealand
 Inspector-General of Intelligence and Security only (see section 27)
 Ombudsman only (see section 28)
 Ombudsman
 Controller and Auditor-General Department of Internal Affairs
 Commissioner of Police
 Independent Police Conduct Authority



Nature of concerns

Privacy of individuals or security of personal information

Professional or trade conduct

Prosecutions

Public sector

Public service

Racism

Sector regulation

Social support or benefits

State services

Transport and transport safety issues

Whistleblowing and protected disclosures

Appropriate authority

Privacy Commissioner

Ministry of Business, Innovation, and Employment

Solicitor-General

Ombudsman

Controller and Auditor-General

Public Service Commission

Human Rights Commission

Commerce Commission

Ombudsman

Public Service Commission

The Treasury (for State-owned enterprises, Crown companies, and organisations named or described in Schedule 4 of the Public Finance Act 1989)

Ministry of Transport

Ombudsman