

Newcrest is committed to fostering a culture of trust in an environment that encourages reporting of misconduct and unethical behaviour and providing protection to those who speak out.

This Policy is available on the Newcrest website and intranet and is intended to be accessed by all.

## 1. Purpose

We are committed to conducting our business with honesty and integrity in line with Newcrest's values and in compliance with relevant legal and regulatory requirements. We have created this Speak Out Policy to encourage individuals to report any Concerns about Improper Conduct and to ensure protection is provided to those who speak out.

This Policy also states our framework for ensuring that fair and independent investigations of any Concerns raised under this Policy are undertaken consistently and in accordance with relevant Newcrest standards and encourage appropriate responsive action where necessary.

## 2. Application

This Policy applies across our operations and activities globally.

This Policy applies to any individual that is, or has been, any of the following:

- (a) an officer or employee of Newcrest;
- (b) a person who supplies goods or services to Newcrest or an employee of that person;
- (c) a director or secretary of Newcrest;
- (d) a director or secretary of a related company of Newcrest; and
- (e) a relative, dependent or spouse of any of the individuals listed in (a) to (d) above,

(collectively referred to as **you**).

## 3. What should you speak out about?

You are encouraged to speak out about any misconduct, anything that you believe to be illegal or unethical, any safety issues, or any breach of our Code of Conduct, including:

- dishonest, fraudulent or corrupt activity;
- illegal activity;
- unethical behaviour or serious breaches of our policies or standards;
- conduct or practices that present a real risk of damage or harm to us, our people or third parties;
- conduct or practices that may cause financial loss to us or damage our reputation;
- harassment, discrimination, victimisation or bullying;
- a breach of any law which may impact our business operations; or
- any other kind of serious impropriety,

(together referred to as **Concerns**).

Personal work-related grievances are not protected under this Policy. If you have a personal work-related grievance, you should raise it under the *Fair Treatment Procedure* or the *Resolving Workplace Behaviour Complaints Procedure*. Personal work-related grievances are issues which relate to your current or former employment, which do not have significant implications for Newcrest and do not relate to a Concern. Examples include an interpersonal conflict between you and another employee or decisions relating to transfer, promotion, remuneration, performance management / discipline or the terms and conditions of your employment.

#### 4. Who should you speak out to?

##### (a) Line Managers

For current employees, we encourage you to speak to your Line Manager in the first instance.

##### (b) The Speak Out Service

We understand that in some circumstances you may want to raise a Concern confidentially. If you do, we encourage you to use the Speak Out Service. Using the Speak Out Service is the best way for us to ensure your Concern is dealt with promptly, securely and in accordance with this Policy. You can raise your Concern on an anonymous or named basis.

You can access the Speak Out Service and all relevant details including a 24/7 jurisdiction specific confidential telephone line at [www.newcrest.ethicspoint.com](http://www.newcrest.ethicspoint.com).

Country	Telephone Number
Australia	1800 812 608
Papua New Guinea	00 086 1214
Indonesia	001 801 10, then at the English prompt dial 855 867 7897
Canada	1 855 867 7897
USA	1 855 867 7897
Fiji	00 1 855 867 7897
Chile	<p><b>Claro Chile – 800:</b> dial 800 225 288, then at the English prompt dial 855 867 7897</p> <p><b>Telefonica:</b> dial 800 800 288, then at the English prompt dial 855 867 7897</p> <p><b>Entel (English):</b> dial 800 360 311, then at the English prompt dial 855 867 7897</p> <p><b>Entel (Spanish):</b> dial 800 360 312, then at the English prompt dial 855 867 7897</p>
Ecuador	<p>For an <b>English</b> operator, dial 1 800 225 528 then at the prompt dial 855 867 7897</p> <p>For a <b>Spanish</b> operator, dial 1 999 119 then at the English prompt dial 855 867 7897</p>

##### (c) Speak Out Protection Officer

If you prefer, you can also raise a Concern or seek further information about this Policy confidentially by contacting the Speak Out Protection Officer at [speakoutprotectionofficer@newcrest.com.au](mailto:speakoutprotectionofficer@newcrest.com.au)

##### (d) Newcrest - Australian Operations

For Concerns about Newcrest's Australian Operations or Conduct occurring in Australia, additional legal protections may be provided if you make your disclosure to certain people – please refer to the attached Schedule.

## 5. How we protect you

We protect everyone that raises any Concerns under this Policy in the following ways:

**Additionally, please refer to the attached Schedule regarding further protections available under Australian Law, where your Concerns are about Newcrest's Australian Operations or about conduct occurring in Australia.**

### Confidentiality and anonymity

We are committed to protecting your confidentiality. We do so through a number of processes and procedures, including the following:

- If you are raising a Concern confidentially to our Speak Out Service or to another person identified above, we will not share your identity **unless** you consent or we are permitted to by law.
- Where it is reasonably necessary for us to disclose identifying information to be able to investigate a report, we will take all reasonable steps to reduce the risk that you will be identified as a result, including by redacting your personal information and referring to you in a gender neutral way.
- All paper and electronic materials relating to your disclosure are stored securely.
- Access to information relating to your disclosure including your identity is limited to those directly involved in managing and investigating the disclosure.

### Protection from Detrimental Treatment

We have a no tolerance approach to detrimental treatment of whistleblowers. Detrimental treatment includes dismissal, injury of an employee or their employment, demotion, harassment or intimidation, discrimination between employees, disciplinary action, bias, threats, physical or psychological harm, or other unfavorable treatment connected with speaking out (***Detrimental Treatment***).

Detrimental Treatment does not include taking reasonable steps for the purpose of protecting you (such as moving you from your immediate work area) or managing unsatisfactory work performance in line with our performance management policies.

If you speak out, some of the ways we will support and protect you include:

- We will not tolerate any reprisals, discrimination, harassment, intimidation or victimization of you.
- We will assess the risk of detriment to you.
- We will recommend support services that are available to you.
- We will discuss ways you can minimise stress or performance impacts.
- We will provide training to investigators and relevant management to help manage disclosures appropriately.

If you are subjected to Detrimental Treatment as a result of making a report under this Policy, or if you are aware of or suspect another person has been subjected to Detrimental Treatment, you should report it immediately to your Line Manager, Human Resources, Legal or via the Speak Out Service.

### Fair treatment

We are committed to treating all persons involved in a Concern fairly, including those named by someone speaking out about a Concern. All investigations undertaken under this Policy will be conducted in accordance with principles of procedural fairness.

## 6. Employee training

We will train our officers and employees on their rights and obligations under this Policy. Potential recipients of confidential disclosures are also provided with specific training on how to manage and record Concerns raised under this Policy.

## 7. Investigation of Concerns

Following receipt of Concerns, Newcrest will assess the disclosure, consider any conflicts of interest and whether and how to investigate.

All Concerns referred to investigation will be investigated fairly, competently and in a timely manner in accordance with relevant Newcrest standards and procedures.

All disclosed information will be recorded in our Speak Out database and managed in accordance with this Policy. The Speak Out Protection Officer is alerted to Concerns raised under this Policy via the Speak Out Service and will conduct an initial review and allocate the matter for investigation. Investigations will be planned, resourced and conducted in accordance with principles of procedural fairness.

We may ask you to cooperate in providing further information in order to conduct a confidential investigation. The relevant investigators will depend on the nature and severity of your Concern. If you have made your disclosure anonymously and we have no means of maintaining contact with you, it may be difficult to proceed with our investigation. We therefore encourage you to provide a way to contact you when you do Speak Out.

A summary of any investigation, findings and actions taken are recorded in the confidential Speak Out Service database to ensure all Concerns are appropriately monitored and managed.

### Providing you with feedback

If you have provided a means to contact you in relation to your Concern, we will provide updates as required and a summary of the outcome of the investigation if it is appropriate to do so.

## 8. Reporting

A summary of the number, type and jurisdiction of Concerns raised under this Policy are provided to the Board Audit and Risk Committee (**ARC**) at least quarterly on a 'no names' basis.

The following people will be notified about relevant Concerns and provided with a report on the findings of the Concern raised:

Concerns relating to	Notified and reports provided to
Directors	Chairman of the Board If Concern relates to the Chairman of the Board, to the Chairman of ARC
Members of the Executive Committee	Chairman of the ARC
All other Designated Recipients	Chairman of the ARC
All others	Speak Out Protection Officer and others as directed by the Head of People, Employee Relations & Internal Communications

## 9. Policy Review

The Policy including the Schedule will be reviewed and updated as necessary by Legal Governance Compliance at least every two years.

***Remember, please speak out – we want to hear your Concerns about our company.***

### Sandeep Biswas

Chief Executive Officer  
Newcrest Mining Limited  
October 2020

### Legal rights and protections for whistleblowers provided by Australian Laws

#### 1. Australian Position

To encourage whistleblowers to come forward with their Concerns and protect them when they do, the *Corporations Act 2001* (Cth) and *Taxation Administration Act 1953* (Cth) gives certain people legal rights and protections as whistleblowers.

In particular, where a disclosure is made to certain people, they are required to ensure:

- I. your confidentiality and protection of identity; and
- II. that you are not subjected to detrimental treatment for raising the Concern.

Recipients of disclosures who fail to uphold these requirements may be subject to civil and criminal penalties.

#### 2. When do these legal protections apply?

You may be protected if you meet **each** of the following criteria:

**1. Your Concern** (as defined in Part 3 of the Policy) relates to Newcrest's Australian operations or to conduct occurring in Australia **OR** you are an Australian citizen or you work in Australia.



**2. You are** one of the people listed in Part 2 of our Speak Out Policy



#### **3. You disclose to:**

- The Speak Out Protection Officer
- The Group Manager, Legal Governance Compliance
- Any member of the Executive Committee
- Any Board member of Newcrest Mining Limited or the Company Secretary
- A member of Internal Audit or external auditors conducting an audit of Newcrest
- A tax or BAS agent of Newcrest
- ASIC, APRA, the Commissioner of Taxation or another Commonwealth body prescribed by regulation



**4. You have reasonable grounds to suspect** that the information you disclose concerns material misconduct, an improper state of affairs or circumstances in relation to Newcrest

If you meet the above criteria, protections will be available to you even if:

- You report anonymously.
- Your report turns out to be incorrect.
- You make a disclosure to a lawyer to obtain legal advice about relevant Protections (even if the lawyer advises that the Protections are not available).

When seeking legal advice, please do so from an independent lawyer, not a Newcrest lawyer.

### 3. Consequences of failing to protect Speak Out disclosers

The following protections and consequences regime has been designed to encourage whistleblowers to come forward with their Concerns and provide reassurance that legal safeguards are in place to protect them when they do.

Protection	Consequences
<b>Protection from Detrimental Treatment</b>	Anyone who engages in Detrimental Treatment (as described in Part 5 of the Policy) may be guilty of an offence and may be liable for damages
<b>Your confidentiality will be protected</b>	A person who receives your disclosure commits an offence if they disclose your identity or information likely to lead to your identification unless: <ul style="list-style-type: none"> <li>• you consent to the disclosure of your identity</li> <li>• it is reasonably necessary to effectively investigate the matter and all reasonable steps are taken to reduce the risk of your identification</li> <li>• your Concern is reported to ASIC, APRA, the AFP or a person or body prescribed by regulation or for tax affairs, to the Commissioner of Taxation</li> <li>• your Concern is raised with a lawyer for the purpose of obtaining legal advice</li> </ul>
<b>Immunity for whistleblower from some types of liability</b>	For example: <ul style="list-style-type: none"> <li>• disciplinary action for making the disclosure</li> <li>• any legal action for breach of an employment contract, duty of confidentiality or another contractual obligation</li> <li>• attempted prosecution for unlawfully releasing information, or other use of the disclosure in a prosecution</li> </ul>

### Compensation for Detrimental Treatment

You (or any other employee or person) can seek compensation and other remedies through the courts if you suffer loss, damage or injury because of Detrimental Treatment (as described in Part 5 of the Policy). For further information please seek independent legal advice (not from a Newcrest lawyer).

If you believe your confidentiality has been breached by Newcrest in relation to your disclosure, please contact the Speak Out Protection Officer or the Group Manager, Legal Governance Compliance.

### 4. Legal protection may not apply

- If your matter relates to a personal work-related grievance (see Part 3 of the Policy), it is **not** generally protected under Australian law. However, if your grievance arises as a result of raising a Concern or is a combination of personal work-related grievances and other misconduct, it may be protected.
- You will not be given immunity from liability if you participated in the misconduct that is the subject of your Concern.

- If your Concern does not contain enough information or documents to support the Concern, then it may not qualify for protection.

## 5. Public interest and emergency disclosures

You may also raise Concerns, which you consider are in the 'Public Interest' or relate to an imminent danger to health, safety or the environment (**Emergency Disclosure**), to a journalist or parliamentarian. These disclosures may qualify for similar protection to those outlined above. The table below sets out the relevant procedure to qualify for protections.

	Public interest disclosure	Emergency disclosure
1.	A previous report has been made to ASIC or APRA	
2.	90 days have passed since making the report	(No wait period)
3.	You have reasonable grounds to believe that making a further disclosure of the information would be in the public interest	You have reasonable grounds to believe that the information concerns a substantial and imminent danger to the health or safety of one or more persons or to the natural environment
4.	Provide written notification to ASIC/APRA that you intend to make a public interest / emergency disclosure and provide enough information to identify the previous disclosure	
5.	Make a disclosure to a member of Commonwealth, State Parliament or the legislature of a Territory or a professional journalist	
6.	The information disclosed provides no more detail than necessary to inform the recipient of the misconduct or improper state of affairs or circumstances	The information disclosed provides no more detail than necessary to inform the recipient of the substantial and imminent danger

It is important for you to understand the criteria for making a public interest or emergency disclosure and we recommend you seek independent legal advice before doing so.