



**ENVIRONMENTAL CLEAN  
TECHNOLOGIES LIMITED**

## Code of Conduct Policy

Version 3

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## 1 Purpose

This Policy is designed to maintain high standards of integrity, professionalism and accountability for Environmental Clean Technology's ("ECT" or "Company") directors and employees.

This document is a public statement of how we conduct our business and how we treat the people we deal with.

## 2 Responsibilities

The Managing Director is responsible for the implementation and control of the Code of Conduct Policy.

## 3 Introduction

### 3.1 Why do we have a code?

This code of conduct outlines the standard of behaviour expected of directors and employees. It is designed to help you understand your responsibilities and obligations and provide guidance if you are faced with an ethical dilemma or conflict of interest in your work.

## 4 Conduct principles

### 4.1 Impartiality: Making decisions objectively

Make decisions, advise and behave in a manner that is free of favouritism, self-interest and preference. Treat people fairly by objectively considering all relevant facts and implementing Company policy and programs equitably.

### 4.2 Integrity: Earning and sustaining trust

Maintain trust by being honest, open and transparent in all dealings. Avoid real or apparent conflicts of interest and report any improper conduct, corruption, fraud and maladministration at work.

### 4.3 Accountability: Taking responsibility for results

Work to clear objectives in a transparent manner. Achieve results through the best use of the employer's financial and physical resources and by working effectively with people. Always anticipate and accept the consequences of actions you take or decisions you make.

Responsive service: Demonstrating a spirit of service

Provide a relevant and timely service to both internal and external customers. Seek to match services to diverse needs to the greatest extent possible. Value the views of the people you deal with and use these views to improve service quality.

## 5 EMPLOYMENT PRINCIPLES

### 5.1 Merit: Choosing people for the right reasons

Select the applicant who best meets the requirements of the role. Establish and follow selection processes that support a recruitment decision and the identification and objective comparison of all relevant applicant information.

### 5.2 Fair and Reasonable Treatment: Respecting and balancing people's needs

Manage employees in a consistent manner that shows respect for human dignity and worth and provides an environment free of intimidation and bullying. Take account of individual differences within the context of operational needs.

### 5.3 Equal Employment Opportunity: Providing a fair go for all

Aim to employ a workforce that reflects the diversity of the community by making employment decisions that are free of extraneous considerations such as age, gender, ethnicity, seniority or affiliation and by providing a workplace that is free from discrimination and harassment.

### 5.4 Avenue of Redress: Resolving issues fairly

Provide readily accessible grievance and dispute resolution processes that ensure fairness and give confidence that appropriate action will be taken where a problem is identified. Protect employees from negative consequences as a result of accessing formal redress processes.

Become familiar and act in accord with this code and its principles.

A code of conduct cannot cover every situation. Check whether an industrial agreement or award covers any relevant issues, or a professional code of practice applies to your work. If you are unsure of the appropriate action to take in a particular situation, discuss the matter with your manager or colleagues.

## 6 Personal and Professional Behaviour

### 6.1 How should I deliver services?

Achieve value for money and avoid waste and extravagance in the use of resources. If possible, identify improvements to systems and procedures to achieve optimal effectiveness, efficiency and responsiveness. Consider the economic, environmental and social impacts when making decisions or providing advice.

Seek feedback from the people you deal with in relation to the services you provide. Explain their entitlements to them clearly and simply and be reasonable yet also consistent in the application of rules and processes.

Employing a contractor will sometimes be the best option for achieving an outcome. When selecting a contractor, conform to any purchasing principles operating at the time including value for money, accountability, risk management, probity and transparency.

Make sure contractors are aware of your expectations. Monitor their performance against these expectations.

## **6.2 How should I manage staff?**

Provide a safe, encouraging and supportive work environment that recognises and values staff diversity, abilities and contributions. Give staff a clear sense of direction and purpose and model the behaviours you expect of them.

Set realistic goals, timelines and workloads, and provide adequate resources to complete work. Trust staff to manage their work autonomously but also provide them with support when needed. Address any performance issues directly and confidentially with the staff member concerned.

Treat staff fairly when assessing performance and providing development opportunities. Consult genuinely with them on any proposed changes to the workplace that affect them and adhere to industrial and legal obligations.

Understand and respond to staff's legitimate needs and concerns. Encourage work arrangements that enable them to achieve a work-life balance.

## **6.3 How should I interact with colleagues?**

Work co-operatively with colleagues, support and learn from each other and accept differences in personal style.

Respect, and seek, when necessary, the professional opinions of colleagues in their area of competence and acknowledge their contribution.

## **6.4 What is expected of me?**

Treat all people with whom you have contact in the course of your work fairly, and with courtesy and sensitivity. Be open, honest and transparent when making decisions or providing any advice or service. Provide information to which a person is entitled, promptly and in an easily understood form. Make sure it is accurate, complete and up to date.

Perform your duties diligently, impartially and responsively, to the best of your ability. Wherever possible be absent from work only with the prior agreement of your manager. Inform your manager of any unexpected absences as soon as possible.

Observe relevant occupational health and safety requirements, and act to remove or bring to the attention of your manager any situation, which is, or may be, a health or safety hazard.

## **6.5 Who is protected from discrimination?**

Victorian and Commonwealth Equal Employment Opportunity and anti-discrimination legislation protect people from discrimination on the grounds of their sex; gender identity; sexual orientation; lawful sexual activity; marital, parental or carer status; pregnancy; breastfeeding; age; physical features; impairment; race; political or religious belief or activity; and industrial activity.

You must not discriminate against, harass or bully anyone, particularly those people over whom you have authority or those who are vulnerable. Material that is fraudulent, harassing, embarrassing, sexually explicit, profane, obscene, intimidating, defamatory or otherwise unlawful or inappropriate must not be sent by email or other forms of electronic communication or displayed or stored on computer.

## **6.6 Can I consume alcohol or use drugs while at work?**

No. Alcohol, drugs or other substances must not adversely affect your work performance or conduct while at work. This includes behaviour at work related functions where alcohol is served. Responsible levels of

alcohol may be consumed when attending a work-related function off-site during business hours. The company has a zero tolerance to drugs or alcohol when on site at either Bacchus Marsh or Yallourn.

### **6.7 What should I do if I am charged with a criminal offence?**

Immediately inform your manager if you are charged with a criminal offence punishable by imprisonment or, if found guilty, would significantly affect your ability to perform your work; for example, a charge of drink driving if you drive a vehicle in the normal course of your work.

### **6.8 How should I handle Company resources?**

Use your employer's facilities and equipment including computers, email, internet access and mobile phones for Company purposes only, unless your employer has given you permission for limited private use. This private use may have been granted to enable you to better manage the balance between your work and private commitments. These resources are not permitted to be used for the benefit of any other business.

There are several types of intellectual property including copyright, patents, trademarks, trade secrets and design rights. Copyright covers the expression of ideas such as in writing, music and pictures. Your employer retains the copyright of work produced by you during your employment. You retain the copyright of the work only if approved by your employer, or if you can demonstrate that you did not use your employer's time, name, information or resources in producing the work.

## **7 Use and Release of Information**

### **7.1 Can I make a public comment?**

Public comment includes public speaking engagements, comments on radio and television and expressing views in letters to the newspapers or in books, journals, the internet or other notices where it might be expected that the publication or circulation of the comment would spread to the community at large.

As a member of the community, you have the right to make public comment and enter into public debate on political and social issues. However, you are not permitted to make any public comments in relation to your employer unless you have express permission from the Managing Director (for employees) or the Chairman of the Board (for directors). These include circumstances where the implication that the public comment, although made in a private capacity, is in some way a comment on Company policy.

### **7.2 How should I handle Company information?**

You must not use or communicate Company information for other than Company purposes without the Managing Director's permission. This includes providing information to the media. You must not take improper advantage of any information, including price sensitive information, gained in the course of your employment.

Only disclose other Company information or documents acquired in the course of your employment when required to do so by law, in the course of performing your duties, when called to give evidence in court, or when proper authority has been given.

In such cases your comments should be confined to factual information and should not express personal opinion on Company policy or practice.

Act and advise with honesty and integrity in all aspects of your duties. If you believe an aspect of Company policy or administration may have unforeseen consequences or otherwise requires review, then bring it to the attention of your manager.

### **7.3 How should I report unethical behaviour?**

Comply promptly with all lawful and reasonable directions you are given. If you have grounds for complaint arising out of such directions, whether ethical or otherwise, you should discuss and attempt to resolve the matter with the Managing Director (if an employee or contractor), or with the ECT Board (if a director of ECT). You must continue to carry out any lawful and reasonable directions that you may be given until the matter is resolved.

Report any unethical behaviour or wrongdoing by any other director or employee to the Managing Director (if an employee or contractor), or to the ECT Board (if a director). This may include behaviour that you believe violates any law, rule or regulation or represents corrupt conduct, substantial mismanagement of resources, or is a danger to health or safety or to the environment. Such reporting is sometimes called 'whistleblowing' and is facilitated under whistleblower protection legislation. For highly sensitive issues, that emanate at Director level should be subject to processes as outlined in the ECT Whistleblower Policy.

You will be protected against reprisals for reporting unethical behaviour or wrongdoing providing that your claim is based on a reasonable belief, and you have reported the matter to the appropriate person. This person will be identified in procedures established by your employer under whistleblower protection legislation.

### **7.4 How should I treat personal information?**

Respect privacy and become familiar with the Information Privacy Principles in the *Information Privacy Act 2000*. Collect, use and disclose only personal information that is necessary for the performance of your work or required by law. For sensitive information such as racial or ethnic origin, political views, religious beliefs, sexual preferences or criminal record, first seek the consent of the individuals concerned. Make sure that the information is accurate, complete and up to date.

Take reasonable steps to protect personal information from misuse and loss, and from unauthorised access, modification or disclosure. If collecting personal information is part of your duties, advise people that they have a right to access their personal information and seek corrections to it.

### **7.5 What happens if I attend court?**

You may be summonsed, subpoenaed or called as a witness or juror at a court of law or any legally constituted inquiry. Immediately advise your manager and, unless otherwise exempted, attend the court or inquiry as specified.

### **7.6 Can I accept public speaking engagements?**

Obtain the prior approval of the Managing Director (for employees) or the ECT Board (for directors) before addressing or chairing professional conferences or other public events in your capacity as an employee or director. Be professional, apolitical and objective.

Pay any fee received for any public speaking engagement undertaken in your professional capacity to your employer unless you have been specifically exempted from doing so in writing.

## 8 Conflict of Interest

### 8.1 How can I avoid a conflict of interest?

Sometimes you may find that your personal interests make it difficult for you to perform your duties impartially. This may happen when there is a reasonable perception that you, your family or close associates could benefit personally from decisions that you take at work. However, where a conflict of interests occurs it should always be resolved in favour of the Company's interest rather than your own.

A declaration of private interests is required of directors of the Company and any subsidiaries and the Company Secretary and any employee holding a financial delegation in excess of \$10,000. An employee may also be required to provide a declaration where that employee is engaged in a role where there is potential for a conflict of interest to arise. These declarations should be made upon appointment and updated at each board meeting for directors and officers, and whenever circumstances change for other employees.

Disclose potential conflicts of interest to management when dealing with matters that may impact relatives, close friends or acquaintances from business dealings prior to becoming an employee or director of ECT Limited.

Don't buy or sell shares in any company at a time when you possess price sensitive information that could, if publicly disclosed, affect the value of such shares.

It is not possible to define all potential areas of conflict of interest and if you are in doubt as to whether a conflict exists, raise this with an appropriate person e.g., the Managing Director or Company Secretary. In some circumstances, the appearance of a conflict of interest could itself jeopardise your integrity. You should not be involved in any decision-making processes where you may be compromised.

### 8.2 Can I accept gifts and favours?

You should not seek or accept favours or gifts for services performed in connection with your duties. Included in this category are gifts in kind, such as free accommodation, travel or entertainment whether for you or members of your family. The general principle to be followed is that you should not seek or accept favours or gifts from anyone who could benefit by influencing you. Please refer to the *Gifts, Benefits, Bribery and Hospitality Policy* for instances where minor gifts may be accepted.

Immediately report to your line manager (or Managing Director if you don't have a line manager), then Company Secretary any circumstances where an offer of a benefit or gift is made, regardless of whether it is accepted or not, if you feel that such circumstances involve an attempt to induce favoured treatment.

Where a gift is given without your prior knowledge or consent or where a gift is given as a token of appreciation, inform your line manager (or Managing Director if you don't have a line manager), then the Company Secretary.

Organisations vary in their policies on accepting gifts and benefits depending on the nature of their business. It is expected, however, that token gifts in the nature of souvenirs, mementos or symbolic items of low material value may be accepted.

### 8.3 How can I prevent patronage or favouritism?

You must not use your position to obtain a private benefit for someone else. Family or other personal relationships must not improperly influence your decisions.



## 9 Financial Probity and Accountability

### 9.4 How should I handle financial matters?

You should familiarise yourself with the Company's policies in relation to financial matters including the handling of monies. Ensure that there is full accountability in relation to any advice or transaction in which you may be involved.

If you are a corporate credit card holder, comply with any limits set by the Company on the value or types of purchases that may be made by you. Never use the credit card for private purchases, cash withdrawals or for expenses that have or will be claimed by any form of allowance. Substantiate all purchases with receipts and immediately report any loss, theft or misuse of the credit card.

## 10 Outside Employment

### 10.5 Can I also work outside of the Company?

Employees should not engage in outside employment or conduct a business, trade or profession without written authority from the Managing Director. Consideration of requests to engage in outside employment would be made to determine whether the outside employment would give rise to an actual or perceived conflict of interest.

## 11 POST EMPLOYMENT

### 11.6 What should I do once my employment ends?

Once you have left the employment of the Company you must not use any information obtained during your employment to advantage yourself or a prospective employer or business.

## 12. ADMINISTRATION INFORMATION OF THIS CODE

This code was adopted and implemented by the Board of ECT 18 October 2022.

This code is available on ECT's website.

The Board will monitor and annually review the effectiveness of this policy.