

Policy Statement

ConocoPhillips' Australia Business Unit (ABU) policies provide guidance on a range of topics related to working for ConocoPhillips (the Company) within the ABU offices and facilities.

They are intended to ensure consistency and procedural fairness across the organisation.

Policies do not address every possible individual situation that may arise in the course of employment. For further guidance in relation to the application of a particular policy, Employees should contact their Supervisor or HR Business Partner.

Purpose

ConocoPhillips is committed to providing an inclusive, safe, efficient, and productive working environment for all Employees.

The purpose of this Policy is to set out information about:

- (a) the types of disclosures that qualify for protection under the Whistleblower Protection Scheme;
- (b) the protections available to whistleblowers, including protections under the Whistleblower Protection Scheme;
- (c) who disclosures that qualify for protection under the Whistleblower Protection Scheme can be made to and how they can be made;
- (d) how the Company will support whistleblowers and protect them from detriment;
- (e) how the Company will investigate disclosures that qualify for protection;
- (f) how the Company will ensure the fair treatment of Employees who are mentioned in disclosures that qualify for protection, or to whom the disclosure relates; and
- (g) how this Policy is to be made available to officers and Employees of the Company.

The Company encourages Employees and contractors who are aware of possible wrongdoing to make a disclosure in accordance with this Policy.

Scope

This Policy applies to all current and former officers, Employees and contractors in the ABU.

Document Control

This is a controlled document when viewed from the ConocoPhillips intranet. When this document is reproduced or printed from the ConocoPhillips intranet and circulated it is an uncontrolled copy. It is the user's responsibility to ensure that the document being used is the latest version.

Confidentiality and Copyright

This document is the property of ConocoPhillips. Its contents are proprietary and confidential and intended for the authorised use of Company personnel. It may not be disclosed or wholly or partially reproduced without the prior written consent of ConocoPhillips.

The Company reserves the right to change, modify or discontinue this Policy at any time.

Revision History

HR006 - ABU Whistleblower Policy					
Revision	Date	Description	Author Position	Reviewer	Approval
COPOP01	Jan 2020	New Policy	Snr Legal Counsel, Tom Jantunen	VP Legal, JF Pepin	VP Legal, JF Pepin
COPOP02	Dec 2020	ABU review and reformat, no content changes.		N Rodgers	P Saftig
COPOP03	Oct 2022	Reformat and entity refresh		Legal Counsel, L Tattersall	HR Manager, P Saftig
COPOP04	May 2023	Content refresh for clarity and readability	Legal Counsel, L Tattersall	HR Manager, P Saftig	HR Manager, P Saftig

Table of Contents

Policy Statement	1
Purpose	1
Scope.....	1
Document Control.....	1
Confidentiality and Copyright	2
Revision History	3
1. Policy commitment	5
2. Scope.....	5
3. What disclosures are protected under Australian law?	5
3.1 Who can make a Protected Disclosure?	6
3.2 What can a Protected Disclosure be about?.....	7
3.3 Who can a Protected Disclosure be made to?.....	8
4. Protections.....	9
4.1 Protection of identity	9
4.2 Protection from civil, criminal and administrative action	11
4.3 If protections are breached.....	11
5. Investigations and fair treatment	12
6. Vexatious disclosures.....	12
7. Other matters	13
8. Definitions	13
Annexure A – Public Interest and Emergency Disclosures	15
Public interest disclosures	15
Emergency disclosures.....	15

1. Policy commitment

ConocoPhillips is committed to transparency and to building an environment in which personnel feel free to speak up when they observe conduct that may violate our Code of Business Ethics and Conduct, our policies or the laws or regulations under which we do business.

If an Employee or contractor becomes aware of a situation that may involve a violation of our Code, company policy or the law, they have a responsibility to report it. Reporting actual or suspected misconduct allows ConocoPhillips to investigate potential problems, stop actual misconduct and prevent future issues.

2. Scope

Under Australian law, some types of disclosures (**Protected Disclosures**) qualify for special legal protections. The purpose of this Policy is to explain when the legal protections in the Whistleblower Protection Scheme in the *Corporations Act* and the *Taxation Administration Act* are available and how they are implemented by the Company.

Depending on individual circumstances, some disclosures may qualify for protections under other Australian legislation, such as the *Fair Work Act 2009* (Cth). This is outside the scope of this Policy.

ConocoPhillips also has global policies that apply to all good faith reports of situations that may involve a violation of our Code, our policies or the law – even if they do not qualify for special legal protections under Australian law. This includes the opportunity to make reports confidentially and anonymously. For more information, please see:

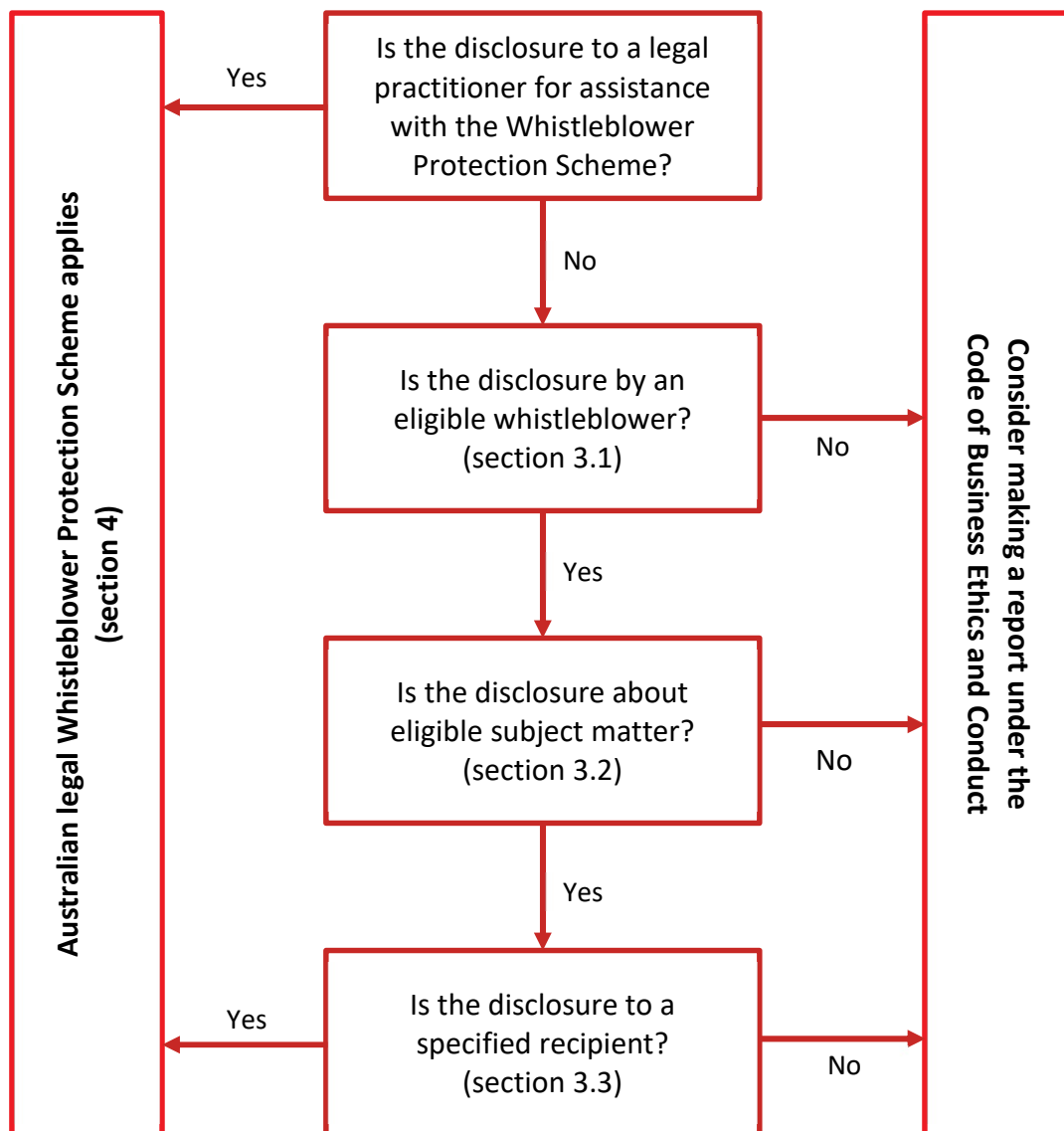
- [Code of Business Ethics and Conduct](#)
- [ConocoPhillips Ethics HelpLine](#)
- [Non-Retaliation Policy](#) (internal policy)

3. What disclosures are protected under Australian law?

Disclosures are protected under the Australian Whistleblower Protection Scheme in the *Corporations Act* and the *Taxation Administration Act* if they meet criteria about:

- who the disclosure is made by (see section 3.1);
- what the disclosure is about (see section 3.2); and
- who the disclosure is made to (see section 3.3).

In addition, a disclosure to a legal practitioner to obtain legal advice or representation in relation to the Whistleblower Protection Scheme is a Protected Disclosure – even if the legal advisor concludes that the information cannot be disclosed to anyone else under the Whistleblower Protection Scheme.



3.1 Who can make a Protected Disclosure?

A Protected Disclosure can be made by any of the following individuals.

- Employee of the Company
- Direct hire contractor of the Company
- Seconded to the Company
- Vendor (i.e. supplier of goods and services) to the Company
- Employee of a vendor, or another company in the ConocoPhillips group who supplies goods and services to the Company
- Officer of the Company
- Associate of the Company
- Anyone who previously held any of the above positions or functions
- Spouse, relative or dependent of any of the above

3.2 What can a Protected Disclosure be about?

Disclosures will qualify for protection under the Whistleblower Protection Scheme if you have reasonable grounds to suspect that the disclosed information:

- (a) **Misconduct or improper state of affairs:** concerns misconduct or an improper state of affairs or circumstances in relation to the Company or one of its related bodies corporate. This can be wider than unlawful conduct, and may include systemic issues which affect the governance of the Company; or
- (b) **Offences:** indicates that the Company, a related body corporate or one of its or their officers or employees has engaged in conduct that constitutes an offence against specified legislation,¹ or an offence against other Commonwealth legislation that is punishable by imprisonment for 12 months or more; or
- (c) **Danger to public or financial system:** indicates that the Company, a related body corporate or one of its or their officers or employees has engaged in conduct that represents a danger to the public or the financial system.

In addition, disclosures in relation to the Company's **tax affairs** will qualify for protection under Whistleblower Protection Scheme if:

- (d) **Misconduct or improper state of affairs:** you have reasonable grounds to suspect that the disclosed information indicates misconduct or an improper state of affairs or circumstances in relation to the tax affairs of the Company or an associate, and you consider that the information may assist the recipient to perform functions or duties in relation to those tax affairs; or
- (e) **Disclosures to ATO:** the disclosure is made to the Australian Taxation Office (ATO), and you consider that the information may assist the ATO to perform its functions or duties under a taxation law.

For example, a Protected Disclosure could be about:

- Illegal conduct, such as theft, use of illicit drugs or criminal damage of property
- Fraud, money laundering or misappropriation of funds
- Offering or accepting a bribe
- Financial irregularities
- Engaging in or threatening retaliation for a Protected Disclosure

A personal work-related grievance (such as a complaint about a performance rating, merit adjustment or interpersonal conflict with another employee) is *not* a Protected Disclosure unless it *also*:

- has significant implications for the Company or another entity; or

¹ The specified legislation is: *Corporations Act 2001* (Cth), *Australian Securities and Investments Commission Act 2001* (Cth), *Banking Act 1959* (Cth), *Financial Sector (Collection of Data) Act 2001* (Cth), *Insurance Act 1973* (Cth), *Life Insurance Act 1995* (Cth), *National Consumer Credit Protection Act 2009* (Cth), *Superannuation Industry (Supervision) Act 2003* (Cth), or an instrument made under any of those Acts.

- relates to the type of conduct set out in (b), (c), (d) or (e) above; or
- relates to retaliation or victimisation for a previous Protected Disclosure.

Personal work-related grievances can be raised under the ABU Workplace Grievance Policy.

3.3 Who can a Protected Disclosure be made to?

Protected disclosures can be made to a number of different people and entities, both inside and outside the Company. Where possible, the Company encourages individuals to use one of the preferred reporting methods so that the Company can address the issue promptly.

Preferred reporting methods	Additional reporting methods
General matters	
<ul style="list-style-type: none"> • ConocoPhillips Ethics HelpLine. This is a 24-hour HelpLine managed by a third party. Online: https://secure.ethicspoint.com/ Telephone: 1800 551 155 (Optus) or 1800 881 011 (Telstra), at the prompt dial 877-327-2272 • Any of the Company's officers or ABU Leadership Team (LT) members, including: <ul style="list-style-type: none"> – President Australia – ABU HR Manager – ABU Vice President Legal – ABU Vice President Finance 	<ul style="list-style-type: none"> • The Company's auditors or actuaries • Australian Securities & Investments Commission (ASIC), see website • Australian Prudential Regulatory Authority (APRA), see website • Any other government regulator prescribed for the purposes of section 1317AA(1)(b)(iii) of the <i>Corporations Act</i>
Taxation matters	
<ul style="list-style-type: none"> • ConocoPhillips Ethics HelpLine (see above) • Any of the Company's officers or ABU LT members (see above) • ABU Tax Manager 	<ul style="list-style-type: none"> • Any Employee or officer of the Company who has functions or duties that relate to the Company's tax affairs • The Company's auditors • A registered tax agent or BAS agent for the Company • ATO, see website • Any other government regulator prescribed for the purposes of section 14ZZV(1)(d) of the <i>Taxation Administration Act</i>

In some circumstances, if a Protected Disclosure has already been made to a regulator, a second Protected Disclosure may be made to a journalist or a Member of Parliament. This is subject to strict rules, which are summarised in Annexure A. The Company encourages individuals to make a report to the ConocoPhillips Ethics HelpLine or an ABU LT member before considering a report to a journalist or a Member of Parliament, so that the Company can address the issue.

4. Protections

When you make a Protected Disclosure, you are legally entitled to the following protections:

- Protection of your identity;
- Protection from retaliation; and
- Protection from civil, criminal and administrative action.

These protections apply not only to internal disclosures, but also to disclosures to legal practitioners, regulators and other external bodies, and public interest and emergency disclosures that are made in accordance with the Whistleblower Protection Scheme.

4.1 Protection of identity

When making a Protected Disclosure, you can choose whether you want your identity to be:

- Anonymous;
- Confidential, with minimum legal exceptions plus any exceptions that you consent to; or
- Not confidential.

Anonymous disclosures

You can choose to remain anonymous or use a pseudonym (i.e. an alias or fictitious name) for the purposes of your disclosure. You can also refuse to answer questions that you feel could reveal your identity at any time, including during follow-up conversations. Alternatively, you can choose to cease being anonymous at any point.

If you choose to make an anonymous disclosure to the Company, you are encouraged to make your report using the ConocoPhillips Ethics HelpLine. The ConocoPhillips Ethics HelpLine is managed by a third party and when you report anonymously, your identity will be kept confidential by that third party. You will be assigned a confidential identification number that allows you to exchange information with Global Compliance & Ethics. Further information is available from the ConocoPhillips Ethics HelpLine website.

In practice, anonymous disclosures can be difficult to investigate effectively. Further, knowing your identity may help the Company better protect you from detrimental conduct. Therefore, you are encouraged to consider one of the other options if you are comfortable to do so. If you agree to your identity being disclosed, you are still entitled to legal protection from retaliation and civil, criminal and administrative action.

Confidential disclosures

Strict confidentiality obligations apply to Protected Disclosures. By law, your identity may only be disclosed:

- to ASIC, APRA, the Australian Federal Police, the Commissioner of Taxation/ATO, or another government regulator prescribed under the *Corporations Act* or the *Taxation Administration Act* (who may in turn make a disclosure to a Commonwealth, State or Territory authority for the purpose of assisting the authority in the performance of its functions or duties); or
- to a legal practitioner for the purpose of obtaining legal advice or representation in relation to the Whistleblower Protection Scheme.

In addition, by law, information that is likely to lead to your identification (which has been obtained directly or indirectly because of a Protected Disclosure) may only be disclosed:

- to the above recipients; or
- if reasonably necessary for the purpose of investigating the matter you have reported, provided all reasonable steps are taken to reduce the risk that you will be identified from the information.

In addition to these minimum legal exceptions, you may agree to your identity being disclosed to other people or for other purposes. If you are comfortable to do so, you are encouraged to consent to your identity being disclosed for the purposes of investigating the matter you have reported, as this helps the investigation to be conducted efficiently and effectively. The Company will ensure that information and documents about disclosures and any subsequent investigation are stored securely and are only able to be accessed by those who are directly involved with the assessment and investigation.

Please note that, while the Company will protect your identity, in practice, people may be able to guess your identity if:

- you have previously mentioned to other people that you are considering making a disclosure;
- you are one of a very small number of people with access to the information; or
- the disclosure relates to information that you were told privately and in confidence.

Protection from retaliation Under the Whistleblower Protection Scheme, it is unlawful for the Company or any person to cause, or threaten to cause, detriment because of an actual or potential Protected Disclosure.

In addition, under the *Fair Work Act 2009* (Cth), a Protected Disclosure may amount to the exercise of a workplace right by an Employee or contractor. The Company and Employees are prohibited from taking adverse action because an individual has exercised or proposes to exercise any workplace rights.

The following are some examples of potential detriment that are prohibited:

- Adverse employment action affecting an employee's salary or compensation;

- Demotion, suspension, or termination of employment;
- Taking away opportunities for advancement;
- Excluding an employee from important meetings;
- Directing an employee who has made a report not to report to outside regulators;
- Deliberately rude or hostile behaviours or speech; and
- Creating or allowing the creation of a work atmosphere that is hostile toward an employee who has reported a concern.

Managing a discloser's unsatisfactory work performance, in line with the Company's performance management framework, is not detriment.

Upon receipt of a Protected Disclosure, the Company will consider what, if any, steps may need to be taken to protect the discloser (or any other staff who might be suspected to have made a disclosure) from detriment. For example:

- the Company nominated representative will reiterate the requirements of this Policy with any person against whom a disclosure may be made or with whom the discloser may work directly to ensure that the protections afforded under the Whistleblower Protection Scheme are not undermined; and
- the Company may temporarily move an Employee to another role or work location (including working from home). Reasonable administrative action to protect an Employee from detriment is not, of itself, detriment.

4.2 Protection from civil, criminal and administrative action

Under the Whistleblower Protection Scheme, you are protected from any of the following in relation to a Protected Disclosure:

- civil liability (e.g. any legal action for breach of an employment contract, duty of confidentiality or another contractual obligation);
- criminal liability (e.g. attempted prosecution for unlawfully releasing information, or other use of the disclosure against you in a prosecution (other than for making a false disclosure)); and
- administrative liability (e.g. disciplinary action for making the disclosure).

These protections do not grant immunity for any misconduct that a discloser has engaged in, that is revealed in the Protected Disclosure.

4.3 If protections are breached

If you are concerned that these protections may have been breached, you should notify the ConocoPhillips Ethics HelpLine immediately so that the Company can take appropriate action. You can also contact the people or organisations listed in section 3.3 or seek independent legal advice. A disclosure about a breach of these protections will, in itself, be a Protected Disclosure.

You may also be able to seek compensation or other remedies through the courts. Courts are given broad scope to make orders remedying a detriment or threatened detriment, including

injunctions, compensation orders (including against individual employees and their employers), reinstatements, exemplary damages, and the making of apologies. Civil and criminal sanctions also apply to breaches of the Whistleblower Protection Scheme. The Company encourages individuals to seek independent legal advice before making an application to a court.

The Company may take disciplinary action up to and including dismissal of any person who breaches this Policy and the legal protections under the Whistleblower Protection Scheme.

5. Investigations and fair treatment

The Company wants to ensure individuals who disclose wrongdoing can do so safely, securely and with confidence that they will be protected and supported. At the same time, it is crucial that due process is observed before any action is taken against a person about whom a disclosure is made.

Upon receipt of a Protected Disclosure, the Global Compliance and Ethics team and/or the ABU HR Manager will assess the disclosure and decide whether an investigation is needed. Protected Disclosures will often be investigated internally by the Company's Human Resources and/or Global Compliance and Ethics teams. However, it may sometimes be appropriate for investigations to be carried out externally on behalf of the Company. Whether an investigation will be carried out externally will depend on the nature and seriousness of the allegations and who they relate to.

Action (including disciplinary action) against an individual accused of wrongdoing will only occur where there is cogent evidence of the alleged misconduct, improper state of affairs or circumstances or other conduct warranting action. Any individuals who are accused of wrongdoing will have an opportunity to respond to allegations before any adverse findings of fact in any investigation are made and before any disciplinary action (if appropriate) is taken.

If the discloser can be contacted, a contact person (usually the ABU HR Manager) will be designated. They will advise the discloser about whether and how the qualifying disclosure will be investigated and how long the investigation is expected to take. During the course of the investigation, the designated contact person will provide regular updates to the discloser and will advise the discloser when the investigation is finalised, including the outcome of the investigation. Because of confidentiality and privacy obligations, the Company may not tell the discloser what action has been taken as a result of a substantiated complaint.

6. Vexatious disclosures

A disclosure is only protected if you have objectively reasonable grounds to suspect that the information that you disclose concerns misconduct, an improper state of affairs or circumstances or other conduct falling within the scope of the Whistleblower Protection Scheme, as set out in section 3.2.

So long as you have objectively reasonable grounds for making the disclosure, the disclosure will be protected even if it turns out to be incorrect, and irrespective of your motive for making the disclosure.

However, if any investigation of a disclosure demonstrates that it was not made on objectively reasonable grounds, or was a deliberately false report, it will not be protected. Depending on the circumstances, the Company may take disciplinary action against any person who makes a vexatious or deliberately false report, up to and including termination of employment.

7. Other matters

If you have any questions about this Policy or would like additional information before making a disclosure, please contact the ABU HR Manager, VP Legal Australia or the ConocoPhillips Ethics HelpLine.

This Policy is intended to supplement, not substitute, the ConocoPhillips Code of Business Ethics and Conduct and other company policies and procedures relating to ethics. It is the responsibility of all personnel to read, be familiar with and comply with this Policy.

This Policy is published on the Company's intranet and external website to ensure it can be accessed by Employees, Company officers and contractors.

The Company's usual EAP services are available to all Employees who make or are affected by a disclosure, should they require that support.

8. Definitions

ABU means ConocoPhillips' Australia Business Unit.

Associate is defined in section 318 of the *Income Tax Assessment Act 1936* (Cth) for the purposes of disclosures relating to tax affairs, and sections 10 to 17 of the *Corporations Act* for other disclosures.

Company means the companies comprising the ABU, and includes ConocoPhillips Australia Operations Pty Ltd, ConocoPhillips Australia Investments Pty Ltd and ConocoPhillips Australia Pacific LNG Pty Ltd.

ConocoPhillips means the global group of companies and includes the Company.

Corporations Act means the *Corporations Act 2001* (Cth) as amended from time to time.

Employee means a person on the payroll of a Company.

Policy means this Whistleblower Policy.

Protected Disclosure means a disclosure that is protected by Australian law under the Whistleblower Protection Scheme in the *Corporations Act* and the *Taxation Administration Act*.

Related body corporate is defined in section 50 of the *Corporations Act*, and includes ConocoPhillips Company and its majority owned subsidiaries.

Supervisor means an Employee with one or more direct reports. This may also be the Vice President or Manager of a functional area.

Taxation Administration Act means the *Taxation Administration Act 1953* (Cth) as amended from time to time.

Annexure A – Public Interest and Emergency Disclosures

In some circumstances, if a Protected Disclosure has already been made to a regulator, a second Protected Disclosure may be made to a journalist or a Member of Parliament. This is subject to strict rules, which are summarised below.

The Company encourages individuals to make a report to the ConocoPhillips Ethics HelpLine or an ABU LT member before considering a report to a journalist or a Member of Parliament, so that the Company can address the issue. The Company also encourages individuals to seek independent legal advice before making a public interest disclosure or emergency disclosure.

Public interest disclosures

A public interest disclosure may be made if all of the following criteria are met.

1. You have previously made a Protected Disclosure of the same information to ASIC, APRA or another prescribed regulator.
2. At least 90 days have passed since the previous Protected Disclosure was made.
3. You do not have reasonable grounds to believe that action is being, or has been, taken to address the matters to which the previous Protected Disclosure related.
4. You have reasonable grounds to believe that making a public interest disclosure would be in the public interest.
5. After the end of the 90 day period referred to in paragraph (2), you gave written notice to the recipient of the previous Protected Disclosure (eg ASIC) that you intend to make a public interest disclosure, which included sufficient information to identify the previous Protected Disclosure.
6. The public interest disclosure is made to a Member of Parliament or a journalist.
7. The extent of the information in the public interest disclosure is no greater than is necessary to inform the Member of Parliament or journalist of the conduct falling within the scope of the Whistleblower Protection Scheme.

Emergency disclosures

An emergency disclosure may be made if all of the following criteria are met.

1. You have previously made a Protected Disclosure of the same information to ASIC, APRA or another prescribed regulator.
2. 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.
3. You have given written notice to the recipient of the previous Protected Disclosure (eg ASIC or APRA) that you intend to make an emergency disclosure, which included sufficient information to identify the previous Protected Disclosure.
4. The emergency disclosure is made to a Member of Parliament or a journalist.
5. The extent of the information in the emergency disclosure is no greater than is necessary to inform the Member of Parliament or journalist of the substantial and imminent danger.