

1. Purpose

DEALING WITH A COMPLAINT INVOLVING THE CEO (S. 156 GOVERNMENT OWNED CORPORATIONS ACT 1993 AND S. 38 and 48A OF THE CRIME AND CORRUPTION ACT 2001).

The objective of this Procedure is to set out how Sunwater Limited will deal with a complaint that involves or may involve corrupt conduct of its Chief Executive Officer (CEO).

This Procedure has been developed with a view to being consistent with policies of Units of Public Administration under section 48A of the CC Act, (despite section 48A of the CC Act not applying to Sunwater). This Procedure is designed to assist Sunwater to:

- Promote public confidence in the way suspected corrupt conduct of the CEO of Sunwater is dealt with (s156 GOC Act);
- Promote accountability, integrity and transparency in the way Sunwater deals with a complaint that is suspected to involve, or may involve, corrupt conduct of the CEO.

2. Scope

This Procedure applies if there is a complaint which involves or relates to the CEO regardless of whether it is suspected the complaint involves corrupt conduct, or not.

The relevant obligations in respect of notifying complaints of suspected corrupt conduct relating to Sunwater are set out in section 156 of the GOC Act. It provides that the CEO must notify the CCC of a Complaint relating to the GOC if the CEO suspects the complaint involves, or may involve, something that would be corrupt conduct under CC Act (if the GOC were a unit of public administration).

3. Procedure

3.1. Nominated Person

This Procedure nominates the Chairman of the Board (including any person acting in that role from time to time) as the Nominated Person.

3.2. Notification

For the purposes of notifying a complaint to which this Procedure applies, sections 156(1) and (2) of the GOC Act apply to Sunwater as if a reference to the CEO were a reference to the Nominated Person. In assessing a complaint for notification, the Nominated Person must, at all times, use his or her best endeavours to act independently, impartially and fairly to investigate the complaint (and such other matters that the nominated person identifies) and assess and determine whether there are grounds to suspect the complaint involves, or may involve, something that would be corrupt conduct under the CC Act (if the GOC were a unit of public administration), having regard to the:

- purposes of the CC Act;
- the importance of promoting public confidence in the way suspected corrupt conduct in Sunwater Limited is dealt with; and
- Sunwater's statutory, policy and procedural framework.

The Nominated Person must, pursuant to section 156 of the GOC Act, notify the CCC of a complaint relating to the GOC if the nominated person suspects the complaint involves, or may involve, something that would be corrupt conduct under CC Act (if the GOC were a unit of public administration).

The Nominated Person must also advise the Board of Directors about the action taken or not taken in respect of a notification of the complaint.

If the CEO suspects a complaint may involve corrupt conduct on his or her part, the CEO must:

- Report the complaint to the Nominated Person as soon as practical and may also notify the CCC under section 156 of the GOC Act; and
- Take no further action to deal with the complaint unless requested to do so by the Nominated Person.

3.3. Post Notification – Dealing with a Complaint

The Nominated Person has responsibility to deal with a complaint notified under section 156 GOC Act to which this Procedure applies when:

- Directions issued under section 40 of the CC Act apply to the complaint; or
- Pursuant to the CC Act, the CCC refers the complaint to the Nominated person or the CEO to deal with.

In such circumstances, the GOC Act and CC Act will apply as if a reference to the CEO of Sunwater was a reference to the Nominated Person, and the Nominated Person:

- is delegated the same authority, functions and powers as the CEO to direct and control staff of Sunwater as if the Nominated Person is the CEO for the purpose of dealing with the complaint only;
- is delegated the same authority, functions and powers as the CEO to enter into contracts on behalf of Sunwater for the purpose of dealing with the complaint;
- must, before dealing with the complaint, consult with the Chairman of the Board about the proposed action to be taken or not taken, subject to any lawful direction of the CCC;
- must advise the Board of the manner in which the complaint has been dealt with, subject to any lawful direction of the CCC.

Sunwater will ensure that sufficient resources are available to the Nominated Person to enable them to deal with any complaint appropriately. In dealing with a complaint, the Nominated Person must, at all times, use their best endeavours to act independently, impartially and fairly having regard to the:

- purposes of the CC Act;
- the importance of promoting public confidence in the way suspected corrupt conduct in Sunwater Limited is dealt with; and
- Sunwater’s statutory, policy and procedural framework.

3.4. Consultation with the CCC

The CEO will consult with the CCC when preparing any procedure about how Sunwater will deal with a complaint that involves or may involve corrupt conduct of the CEO.

3.5. Review of Procedure

The Board will review this Procedure on a two yearly basis. The CEO and Company Secretary have the authority to approve administrative amendments to this and other governance policies, with advice to be provided to the Board on material administrative changes.

3.6. Enquiries Regarding this Procedure

Enquiries regarding this Procedure should be directed to the GM Governance, Risk and Assurance or the Company Secretary.

4. Responsibilities

Role	Responsible For
Nominated person/s under the Act	<p>the Chairman of the Board (including any person acting in that role from time to time) as the Nominated Person.</p> <p>The Nominated Person must, pursuant to section 156 of the GOC Act, notify the CCC of a complaint relating to the GOC if the nominated person suspects the complaint involves, or may involve, something that would be corrupt conduct under CC Act (if the GOC were a unit of public administration).</p> <p>The Nominated Person has responsibility to deal with a complaint notified under section 156 GOC Act to which this Procedure applies when:</p> <ul style="list-style-type: none"> • Directions issued under section 40 of the CC Act apply to the complaint, or • Pursuant to the CC Act, the CCC refers the complaint to the Nominated person or the CEO to deal with.
CEO	<p>If the CEO suspects a complaint may involve corrupt conduct on his or her part, the CEO must:</p> <ul style="list-style-type: none"> • Report the complaint to the Nominated Person as soon as practical and may also notify the CCC under section 156 of the GOC Act, and • Take no further action to deal with the complaint unless requested to do so by the Nominated Person.

5. Related Legislation and Documents

Legislation and Standards

- Crime and Corruption Act 2001
- Government Owned Corporations Act 1993
- Public Interest Disclosure Act 2010
- Corporations Act 2001
- Financial and Performance Management Standard 2009
- AS/NZS ISO 31000:2009, Risk Management – Principles and Guidelines

Related Sunwater Documents

- Code of Conduct
- Fraud and Corrupt Conduct Policy
- Fraud and Corrupt Conduct Procedure
- Fraud and Corrupt Conduct Control Plan
- Public Interest Disclosure & Whistleblower Policy & Procedure
- Chairman and Directors Corrupt Conduct Procedure Gifts and Benefits Policy and Guide
- Misconduct and Discipline Policy and Guide

6. Definitions

Defined Term	Explanation
Crime and Corruption Commission (CCC)	the Commission continued in existence under the Crime and Corruption Act 2001
CC Act	<i>Crime and Corruption Act 2001</i>

Defined Term	Explanation
Complaint	includes information or matter. See definition provided by s48A(4) of the <i>Crime and Corruption Act 2001</i>
Corruption	see Schedule 2 (Dictionary) of the <i>Crime and Corruption Act 2001</i>
Corrupt conduct	see s15 of the <i>Crime and Corruption Act 2001</i>
Deal with	see Schedule 2 (Dictionary) of the <i>Crime and Corruption Act 2001</i>
GOC	Government Owned Corporation
GOC Act	<i>Government Owned Corporations Act 1993</i>
Nominated person	see item 3.1 of this Procedure
Public Official/CEO	see Schedule 2 (Dictionary) and also s48A of the <i>Crime and Corruption Act 2001</i>
Unit of public administration (UPA)	see s20 of the <i>Crime and Corruption Act 2001</i>

7. Approval and Review Details

Owner:	Board	Issue Date:	November 2019	Document No:	2416956
SME:	Co Sec	Next Revision Date:	November 2021	Reference No:	CORP PRO 14

