



Attachment 1 to Item 10.4.5.

Draft Public Interest Disclosure Policy

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Public Interest Disclosure

DRAFT COUNCIL POLICY

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DRAFT



1. TITLE

Public Interest Disclosure Policy.

2. PURPOSE

All agencies in NSW are required to have a Public Interest Disclosure (PID) Policy under section 42 of the Public Interest Disclosures Act 2022 (PID Act).

At Council we take reports of serious wrongdoing seriously. We are committed to building a 'speak up' culture where public officials are encouraged to report any conduct that they reasonably believe involves wrongdoing.

The integrity of Council relies upon our Councillors, staff, volunteers, contractors and subcontractors speaking up when they become aware of wrongdoing.

This Policy sets out:

- How Council will support and protect you if you come forward with a report of serious wrongdoing
- How we will deal with the report and our other responsibilities under the PID Act
- Who to contact if you want to make a report
- How to make a report
- The protections which are available to you under the PID Act.

This Policy also documents our commitment to building a speak up culture. Part of that speak up culture is having in place a framework that facilitates public interest reporting of wrongdoing by:

- Protecting those who speak up from detrimental action
- Imposing duties on agencies who receive reports of wrongdoing to take appropriate action to investigate or otherwise deal with them.

In NSW, that framework is the PID Act.

This Policy should be read in conjunction with Council's:

- Code of Conduct
- Fraud and Corruption Prevention Policy
- Gifts and Benefits for Councillors and Staff Policy
- Relevant corporate policies and procedures regarding grievance handling.

3. ACCESSIBILITY OF THIS POLICY

This Policy is available on Council's website in Council's Policy Register, as well as internally through Pulse which can be accessed through Hawkeye.

A copy of the Policy is also sent to all staff of Council on their commencement. A hard copy of the Policy can be requested from the Governance and Risk Branch.



4. WHO DOES THIS POLICY APPLY TO?

This Policy applies to, and is for the benefit of, all public officials in NSW. You are a public official if you are:

Within Council

- A person employed in or by an agency or otherwise in the service of an agency, that is, Council staff
- A person having public official functions or acting in a public official capacity whose conduct or activities an integrity agency is authorised by another Act or law to investigate, that is, Councillors or members of committees
- A person providing services or exercising functions on behalf of an agency, including a contractor, subcontractor or volunteer
- An employee, partner or officer of an entity that provides services, under contract, subcontract or other arrangement, on behalf of agency or exercises functions of an agency, and are involved in providing those services or exercising those functions.

Outside Council

- An individual in the service of the Crown
- A statutory officer
- A judicial officer
- A Member of Parliament (MP), including a Minister
- A person employed under the Members of Parliament Staff Act 2013.

Other public officials who work in and for the public sector, but do not work for Council, may use this Policy if they want information on who they can report wrongdoing to within Council.

5. WHO DOES THIS POLICY NOT APPLY TO?

This Policy does not apply to:

- People who have received services from Council and want to make a complaint about those services
- People, such as contractors, who provide services to Council. For example, employees of a company that sold computer software to Council.

This means that if you are not a public official, this Policy does not apply to your complaint (there are some circumstances where a complaint can be deemed to be a voluntary PID, see section 8(i) of this Policy for more information).

However, you can still make a complaint to Council. This can be done by following Council's Customer Feedback Policy.

6. COMPLIANCE WITH THE PID ACT

To remain compliant with the PID Act, Council will regularly review this Policy in accordance with the Council's review schedule or as amendments are required due to legislation or process updates.

The Manager Governance and Risk will be responsible for:

- Reviewing and reporting the Policy to Council
- Amending the Policy if errors or issues are identified in the Policy
- Monitoring the Policy and ensuring that it is fit for purpose.



7. WHAT IS CONTAINED IN THIS POLICY?

This Policy will provide you with information on the following:

- Ways you can make a voluntary PID to Council under the PID Act
- The names of the nominated Disclosure Officers in Council
- The roles and responsibilities of people who hold particular roles under the PID Act and who are employees of Council
- What information you will receive once you have made a voluntary PID
- Protections available to people who make a report of serious wrongdoing under the PID Act and what Council will do to protect you
- Council's procedures for dealing with disclosures
- Council's procedures for managing the risk of detrimental action and reporting detrimental action
- Council's recordkeeping and reporting requirements
- How Council will ensure it complies with the PID Act and this Policy.

If you require further information about this Policy, how public interest disclosures will be handled and the PID Act you can:

- Contact a nominated Disclosure Officer within Council (confidentially or not)
- Contact the PID Advice Team within the NSW Ombudsman by phone: (02) 9286 1000 or email: pidadvice@ombo.nsw.gov.au, or
- Access the NSW Ombudsman's PID guidelines which are available on its website.

If you require legal advice with respect to the PID Act or your obligations under the PID Act, you may need to seek independent legal advice.

8. HOW TO MAKE A REPORT OF SERIOUS WRONGDOING

a) Reports, complaints and grievances

When a public official reports suspected or possible wrongdoing in the public sector, their report will be a PID if it has certain features which are set out in the PID Act.

Some internal complaints or internal grievances may also be PIDs, as long as they have the features of a PID. If an internal complaint or grievance is a report of serious wrongdoing, Council will consider whether it is a PID. If it is a PID, we will deal with it as set out in this Policy and other relevant policies, for example, Council's Code of Conduct.

It is important that Council quickly recognises that it has received a PID. This is because once a PID is received, the person who has made the report is entitled to certain protections and we have certain decisions that we have to make on how we will deal with the PID and how we will protect and support the person who has made the report.

b) When will a report be a PID?

There are three types of PIDs in the PID Act. These are:

1. Voluntary PID: This is a PID where a report has been made by the public official because they decided, of their own accord, to come forward and disclose what they know.
2. Mandatory PID: This is a PID where the public official has made a report about serious wrongdoing because they have a legal obligation to make that report, or because making that report is an ordinary aspect of their role or function in an agency.
3. Witness PID: This is a PID where a person discloses information during an investigation of serious wrongdoing following a request or requirement of the investigator.



This Policy mostly relates to making a voluntary PID and how Council will deal with voluntary PIDs. People who make a mandatory PID or a witness PID are still entitled to protection. More information about protections is available in section 9 of this Policy.

You can find more information about mandatory and witness PIDs in the Ombudsman's guidelines 'Dealing with mandatory PIDs' and 'Dealing with witness PIDs'.

Voluntary PIDs involve a public official making a report because they have information that they believe shows (or tends to show) serious wrongdoing, where they are not under a legal obligation to make that report and where it is not an ordinary part of their role to report such wrongdoing.

A report is a voluntary PID if it has all the following five features:

- 1 A report is made by a public official**
- 2 It is made to a person who can receive voluntary PIDs**
- 3 The public official honestly and reasonably believes that the information they are providing shows (or tends to show) serious wrongdoing**
- 4 The report was made orally or in writing**
- 5 The report is voluntary (meaning it is not a mandatory or witness PID)**

You will not be expected to prove that what you reported actually happened or is serious wrongdoing. You do have to honestly believe, on reasonable grounds, that the information you are reporting shows or tends to show serious wrongdoing.

Even though you do not have to prove the serious wrongdoing happened or provide evidence, a mere allegation with no supporting information is unlikely to meet this test.

If Council makes an error and does not identify that you have made a voluntary PID, you will still be entitled to the protections under the PID Act.

If you make a report and believe Council has made an error by not identifying that you have made a voluntary PID, you should raise this with a nominated Disclosure Officer or your contact officer for the report. If you are still not satisfied with this outcome, you can seek an internal review or we may seek to conciliate the matter. You may also contact the NSW Ombudsman. Further information on rights to internal review and conciliation is found in section 14 of this Policy.

c) Who can make a voluntary PID?

Any public official can make a voluntary PID – see section 4, 'Who this Policy applies to'. Under this Policy, you are a public official if:

- You are employed by Council
- You are a Councillor
- You are a contractor, subcontractor or volunteer who provides services, or exercises functions, on behalf of Council, or
- You work for an entity (such as a non-government organisation) who is contracted by Council to provide services or exercise functions on behalf of Council – if you are involved in undertaking that contracted work.

Consultants engaged to assist Council with work are not considered public officials under the PID Act.



A public official can make a PID about serious wrongdoing relating to any agency, not just the agency they are working for. This means that we may receive PIDs from public officials outside Council. It also means that you can make a PID to any agency, including an integrity agency like the Independent Commission Against Corruption (ICAC) and the NSW Ombudsman. Appendix B of this Policy has a list of integrity agencies.

d) What is serious wrongdoing?

Reports must be of one or more of the following categories of serious wrongdoing to be a voluntary PID (in addition to having the other features set out here). Serious wrongdoing is defined in the PID Act as:

Type of serious wrongdoing	Example
corrupt conduct	a public official accepting a bribe
serious maladministration	an agency systematically failing to comply with proper recruitment processes when hiring staff
a government information contravention	destroying, concealing or altering records to prevent them from being released under a Government Information Public Access application
a local government pecuniary interest contravention	a senior Council staff member recommending a family member for a Council contract and not declaring the relationship
a privacy contravention	unlawfully accessing a person's personal information on an agency's database
a serious and substantial waste of public money	an agency not following a competitive tendering process when contracting with entities to undertake government work

When you make your report, you do not need to state to Council what category of serious wrongdoing you are reporting or that you are reporting serious wrongdoing.

e) Who can I make a voluntary PID to?

For a report to be a voluntary PID, it must be made to certain public officials.

Making a report to a public official who works for Council

You can make a report inside Council to:

- The General Manager, or the Mayor if the disclosure is about the General Manager
- A Disclosure Coordinator
- A Disclosure Officer for Council – a list of Disclosure Officers for Council and their contact details can be found at Appendix A of the Policy
- Your manager – this is the person who directly, or indirectly, supervises you. It can also be the person who you directly, or indirectly, report to. You may have more than one manager. Your manager will make sure that the report is communicated to a Disclosure Officer on your behalf or may accompany you while you make the report to a Disclosure Officer.

For a public official who is a person providing services or exercising functions on behalf of Council (including a contractor, subcontractor or volunteer) or an employee, partner or officer of an entity that provides services on behalf of Council or exercises functions of Council – their manager is taken to be the public official in Council who oversees those services or functions, or who manages the relevant contract or volunteering agreement.



Making a report to a recipient outside of Council

You can also make your report to a public official in another agency (meaning an agency you do not work for) or an integrity agency. These include:

- The head of another agency – this means the head of any public service agency
- An integrity agency – a list of integrity agencies is located at Appendix B of this Policy
- A Disclosure Officer for another agency – ways to contact Disclosure Officers for other agencies is located in that agency's PID policy which can be found on their public website
- A Minister or a member of a Minister's staff but the report must be made in writing.

If you choose to make a disclosure outside of Council, it is possible that your disclosure will be referred back to Council so that appropriate action can be taken.

Making a report to a Member of Parliament (MP) or journalist

Disclosures to MPs or journalists are different to other reports. You can only disclose a report of wrongdoing as a voluntary PID to an MP or journalist in the following circumstances:

- You must have first made substantially the same disclosure (described here as a 'previous disclosure') to someone who can receive disclosures
- The previous disclosure must be substantially true
- You did not make the previous disclosure anonymously
- You did not give a written waiver of your right to receive information relating to your previous disclosure
- You did not receive the following information from Council:
 - Notification that Council will not investigate the serious wrongdoing and will also not refer the previous disclosure to another agency, or
 - The following information at the end of the investigation period:
 - Notice of Council's decision to investigate the serious wrongdoing
 - A description of the results of an investigation into the serious wrongdoing
 - Details of proposed or recommended corrective action as a result of the previous disclosure or investigation.

Investigation period means:

- After six months from the previous disclosure being made, or
- After 12 months if you applied for an internal review of Council's decision within six months of making the disclosure.

If all the above requirements are met, your disclosure to an MP or journalist may be a voluntary PID.

f) What form should a voluntary PID take?

You can make a voluntary PID:

- In writing – this could be an email or letter to a person who can receive voluntary PIDs.
- Orally – have a private discussion with a person who can receive voluntary PIDs. This can be face-to-face, via telephone or virtually.
- Anonymously – write an email or letter or call a person who can receive PIDs to make a report without providing your name or anything that might identify you as the maker of the report. A report will only be considered anonymous if there is no reasonable or practical way of communicating with the person making the report. Even if you choose to remain anonymous, you will still be protected under the PID Act. It may be difficult, however, for Council to investigate the matter(s) you have disclosed if it cannot contact you for further information.



g) What should I include in my report?

You should provide as much information as possible so Council can deal with the report effectively. The type of information you should include is:

- Date, time and location of key events
- Names of person(s) involved in the suspected wrongdoing, their role, title and how they are involved
- Your relationship with the person(s) involved, such as whether you work closely with them
- Your explanation of the matter you are reporting
- How you became aware of the matter you are reporting
- Possible witnesses
- Other information you have that supports your report.

h) What if I am not sure if my report is a PID?

You should report all wrongdoing you become aware of regardless of whether you think it is serious wrongdoing. It is important for Council to understand what is or may be occurring.

Council is then responsible for making sure your report is handled appropriately under the PID Act, or if it is not a PID, in line with other procedures. Even if your report is not a PID, it may fall within another one of Council's policies for dealing with reports, allegations or complaints.

i) Deeming that a report is a voluntary PID

The General Manager (or their delegate) can, in certain circumstances, determine that a report is a voluntary PID even if the report does not otherwise have all the features of a voluntary PID. This is known as the 'deeming power'.

By deeming that a report is a voluntary PID, it ensures that reporters are provided with protections under the PID Act.

If you make a report that has not met all the requirements of a voluntary PID, you can refer your matter to the General Manager (or their delegate) to request that they consider deeming your report to be a voluntary PID. Your contact person will advise you of your right to request that your report be referred for consideration. The request should be made in writing to the General Manager (or their delegate).

The General Manager (or their delegate) will review the report and consider whether, although it may not technically be a voluntary PID, it should be deemed one based on relevant factors, including:

- Does the disclosed information show serious wrongdoing?
- Is there uncertainty about whether the person is a public official?
- Is the person in a position akin to that of a public official as defined in the PID Act?
- What is the risk to the person if the disclosure is not deemed to be a voluntary PID?
- Why is the disclosure not otherwise a voluntary PID?
- What are the benefits of deeming the disclosure to be a PID?

A decision to deem a report to be a voluntary PID is at the discretion of the General Manager (or their delegate). The decision will be made within 20 working days of the request being made. After considering the request, the General Manager (or their delegate) must do one of the following:

- Make the determination, that is, deem that the disclosure is a voluntary PID. The maker of the PID must be informed in writing.
- Refuse to make the determination, that is, refuse to deem that the disclosure is a voluntary PID. The maker of the PID must be informed of this decision to refuse in writing and be provided with reasons for the decision.

For more information about the deeming power, see the Ombudsman's guideline 'Deeming that a disclosure is a voluntary PID'.



j) Who can I talk to if I have questions or concerns?

If you have questions about voluntary PIDs, you can contact Council's Manager Governance and Risk by phone on (02) 4560 4426, by email at council@hawkesbury.nsw.gov.au, or write to Council at PO Box 146, WINDSOR 2756.

9. PROTECTIONS

a) How is the maker of a voluntary PID protected?

When you make a voluntary PID you receive special protections under the PID Act.

Council is committed to taking all reasonable steps to protect you from detriment as a result of having made a PID. We are also committed to maintaining your confidentiality as much as possible while the PID is being dealt with.

We will not tolerate any type of detrimental action being taken against you because you have made a report, might make a report or are believed to have made a report.

The maker of a voluntary PID is protected in the following ways:

Protection from detrimental action	<ul style="list-style-type: none"> A person cannot take detrimental action against another person because they have made a voluntary PID or are considering making a PID. Detrimental action includes bullying, harassment, intimidation or dismissal. Once we become aware that a voluntary PID by a person employed or otherwise associated with Council that concerns serious wrongdoing relating to Council has been made, we will undertake a risk assessment and take steps to mitigate the risk of detrimental action occurring against the person who made the voluntary PID. It is a criminal offence for someone to take detrimental action against a person because they have made or may make a voluntary PID. It is punishable by a maximum penalty of 200 penalty units or imprisonment for five years or both. A person may seek compensation where unlawful detrimental action has been taken against them. <p>Note that a person who makes a PID can still be subject to reasonable management action (such as ordinary performance reviews and performance management). Provided such action is not taken because of the PID, it is not detrimental action under the PID Act.</p>
Immunity from civil and criminal liability	<p>Some public officials are often subject to a duty of confidentiality that prevents them disclosing certain information that they obtain or become aware of at work. Sometimes, in order to make a PID, public officials will need to breach or disregard such confidentiality duties. If that happens, a public official cannot be disciplined, sued or criminally charged for breaching confidentiality.</p>
Confidentiality	<p>Public officials and agencies must not disclose information tending to identify a person as the maker of a voluntary PID unless doing so is permitted by the PID Act.</p>
Protection from liability for own past conduct	<p>The Attorney General can give the maker an undertaking that a disclosure of their own past conduct will not be used against them if a person discloses their own wrongdoing or misconduct while making a report. This undertaking can only be given on application by an integrity agency to the Attorney General.</p>



b) Protections for people who make mandatory and witness PIDs

Apart from PIDs that are made voluntarily by public officials, mandatory PIDs and witness PIDs are other types of reports that are recognised as PIDs under the PID Act (see section 8(b)).

Protections for makers of mandatory and witness PIDs are detailed in the table below:

Detrimental action	It is an offence to take detrimental action against a person based on the suspicion, belief or awareness that a person has made, may have made or may make a PID.
Right to compensation	A person can initiate proceedings and seek compensation for injury, damage or loss suffered as a result of detrimental action being taken against them.
Ability to seek injunction	An injunction can be sought to prevent the commission or possible commission of a detrimental action offence against a person. For example, an order to prevent dismissal or to require reinstatement.
Immunity from civil and criminal liability	A person will not incur civil or criminal liability if the person breaches a duty of confidentiality while making a disclosure. This means that legal action cannot be taken against a person for: <ul style="list-style-type: none"> • Breaching a duty of secrecy or confidentiality, or • Breaching another restriction on disclosure.

10. REPORTING DETRIMENTAL ACTION

If you experience adverse treatment or detrimental action, such as bullying or harassment, you should report this immediately. You can report any experience of adverse treatment or detrimental action directly to Council, or to an integrity agency. A list of the Disclosure Officers is located at Appendix A and a list of integrity agencies is located at Appendix B of this Policy.

11. GENERAL SUPPORT

If you are making a PID report and require support you can contact:

- A Disclosure Officer or Disclosure Coordinator
- The People and Development Branch
- Council's Employee Assistance Program.



12. ROLES AND RESPONSIBILITIES

Roles	Responsibilities
General Manager	<ul style="list-style-type: none"> • Fostering a workplace culture where reporting is encouraged • Receiving reports directly from public officials • Ensuring there is a system in place for assessing disclosures • Ensuring Council complies with this Policy and the PID Act • Ensuring that Council has appropriate systems for: <ul style="list-style-type: none"> - overseeing internal compliance with the PID Act - supporting public officials who make voluntary PIDs, including by minimising the risk of detrimental action - implementing corrective action if serious wrongdoing is found to have occurred - complying with reporting obligations regarding allegations or findings of detrimental action - complying with yearly reporting obligations to the NSW Ombudsman.
Disclosure Coordinators	<ul style="list-style-type: none"> • Receiving reports directly from public officials • Assessing reports to determine whether a report is a voluntary PID • Coordinate Council's response to a report • Assess and manage the confidentiality requirements for each report • Assess the risk of reprisal and workplace conflict related to or likely to arise out of a report, and develop strategies to manage any identified risks • Where required, provide or coordinate support to reporters, including protecting the interests of any officer that is the subject of a report • Collecting relevant PID information and preparing the annual report for the NSW Ombudsman regarding voluntary PIDs.
Disclosure Officers	<ul style="list-style-type: none"> • Receiving reports directly from public officials • Receiving reports when they are passed on to them by managers • Ensuring reports are dealt with appropriately in accordance with this Policy • Ensuring that any oral reports that have been received are recorded in writing.
Mayor	<ul style="list-style-type: none"> • Receiving reports about the General Manager directly from public officials • Ensuring reports are dealt with appropriately in accordance with this Policy • Ensuring that any oral reports that have been received are recorded in writing.
Managers/Direct Supervisors	<ul style="list-style-type: none"> • Receiving reports from persons that report to them or that they supervise • Passing on reports they receive to a Disclosure Officer or Disclosure Coordinator.
All employees	<ul style="list-style-type: none"> • Report suspected serious wrongdoing or other misconduct • Assist in an investigation of serious wrongdoing if asked to do so by a Disclosure Coordinator dealing with a voluntary PID on behalf of Council • Treat any person dealing with or investigating reports of serious wrongdoing with respect • Not take detrimental action against any person who has made, may in the future make, or is suspected of having made, a PID.



13. HOW COUNCIL WILL DEAL WITH VOLUNTARY PIDS

a) How Council will acknowledge that it has received a report and keep the person who made it informed

When a Disclosure Officer in Council receives a report which is a voluntary PID, or looks like it may be a voluntary PID, the person who made the report will receive the following information:

- An acknowledgement that the report has been received. This acknowledgement will:
 - state that the report will be assessed to identify whether it is a PID
 - state that the PID Act applies to how Council deals with the report
 - provide clear information on how you can access this PID policy
 - provide you with details of a contact person and available supports.
- If the report is a voluntary PID, Council will inform you as soon as possible how we intend to deal with the report. This may include:
 - that Council is investigating the serious wrongdoing
 - that we will refer the report to a different agency (if appropriate) to deal with the voluntary PID. If Council does this, we will provide you with details of this referral
 - if Council decides to not investigate the report and to not refer it to another agency for it to be investigated, we will tell you the reasons for this decision. We will also notify the NSW Ombudsman of this decision.
- If Council decides to investigate the serious wrongdoing, we will provide you with updates on the investigation at least every three months. During this time, if you would like more frequent updates, you should contact the contact person who was nominated when you made the report.
- If Council investigates the serious wrongdoing, we will provide you with the following information once the investigation is complete:
 - a description of the results of the investigation – that is, Council will tell you whether we found that serious wrongdoing took place
 - information about any corrective action as a result of the investigation/s – this means Council will tell you what action we took in relation to the person who engaged in the serious wrongdoing or, if the serious wrongdoing was by Council, what we have put in place to address that serious wrongdoing
 - corrective action could include taking disciplinary action against someone or changing the practices, policies and procedures that Council has in place which led to the serious wrongdoing.
- There may be some details about both the findings made as a result of the investigation and the corrective action taken that cannot be revealed to you. Council will always balance the right of a person who makes the report to know the outcome of that report with other legal obligations we have.
- If you have made an anonymous report, in many cases Council may not be able to provide this information to you.

b) How Council will deal with voluntary PIDs

Once a report that may be a voluntary PID is received, Council will look at the information contained in the report to see if it has the features of a voluntary PID. This assessment is undertaken to identify whether the report is a voluntary PID or another type of disclosure, and to make sure that the right steps are followed. If it is a voluntary PID, we will ensure that we comply with the requirements in the PID Act.

The Disclosure Coordinator is responsible for assessing reports they receive directly from a person reporting a disclosure, from any Disclosure Officers, or from managers who have received a report. They may also seek advice from Council's Legal Counsel.



Report not a voluntary PID

Even if the report is not a voluntary PID, it will still need to be dealt with in a manner consistent with Council's Code of Conduct, internal grievance handling policy and procedure or through an alternate process.

If the report is not a voluntary PID, Council will let you know that the PID Act does not apply to the report and how we will deal with the concerns raised in the report.

If you are not happy with this assessment or otherwise disagree with it, you can raise it with the person who has communicated the outcome with you or a Disclosure Officer, request an internal review or request that the matter be conciliated. Council can, but do not have to, request the NSW Ombudsman to conciliate the matter.

Cease dealing with the report as a voluntary PID

Council may stop dealing with a voluntary PID because it is not actually a voluntary PID (meaning it does not have all the features of a PID). The reporter of the PID will be notified of this in writing by the officer responsible for investigating the report. The reasons for ceasing to deal with the report as a voluntary PID must be included.

Where the report is a voluntary PID

If the report is a voluntary PID:

- In most cases Council will conduct an investigation to make findings about whether the serious wrongdoing disclosed in the report occurred, who was involved, who was responsible, and whether the people involved, or Council engaged, in serious wrongdoing. There may be circumstances where we believe an investigation is not warranted – for example, if the conduct has previously been investigated.
- There may also be circumstances where Council decides that the report should be referred to another agency, such as an integrity agency. For example, reports concerning possible corrupt conduct may be required to be reported to the ICAC in accordance with section 11 of the Independent Commission Against Corruption Act 1988.
- Before referring a matter, Council will discuss the referral with the other agency, and we will provide you with details of the referral and a contact person within the other agency.
- If Council decides not to investigate a report and to not refer the matter to another agency, we will let you know the reasons for this and notify the NSW Ombudsman.

c) How Council will protect the confidentiality of the maker of a voluntary PID

Council understands that people who make voluntary PIDs may want their identity and the fact that they have made a report to be confidential.

Under the PID Act, information tending to identify a person as the maker of a voluntary PID (known as identifying information) is not to be disclosed by a public official or Council.

There are certain circumstances under the PID Act that allow for the disclosure of identifying information. These include:

- Where the person consents in writing to the disclosure
- Where it is generally known that the person is the maker of the voluntary PID because of their voluntary self-identification as the maker
- When the public official or Council reasonably considers it necessary to disclose the information to protect a person from detriment
- Where it is necessary the information be disclosed to a person whose interests are affected by the disclosure
- Where the information has previously been lawfully published



- When the information is disclosed to a medical practitioner or psychologist for the purposes of providing medical or psychiatric care, treatment or counselling to the individual disclosing the information
- When the information is disclosed for the purposes of proceedings before a court or tribunal
- When the disclosure of the information is necessary to deal with the disclosure effectively
- If it is otherwise in the public interest to disclose the identifying information.

Council will not disclose identifying information unless it is necessary and authorised under the PID Act.

We will put in place steps to keep the identifying information of the maker and the fact that a report has been made confidential. It may not be possible for us to maintain complete confidentiality while it progresses the investigation, but we will do all that we practically can to not unnecessarily disclose information from which the maker of the report can be identified.

Council will do this by:

- Limiting the number of people who are aware of the maker's identity or information that could identify them
- If we must disclose information that may identify the maker of the PID, we will still not disclose the actual identity of the maker of the PID, unless we have their consent to do so
- Ensuring that any person who does know the identity of the maker of a PID is reminded that they have a legal obligation to keep their identity confidential
- Ensuring that only authorised persons have access to emails, files or other documentation that contain information about the identity of the maker.
- Undertaking an assessment to determine if anyone is aware of the maker's identity and if those persons have a motive to cause detrimental action to be taken against the maker or impede the progress of the investigation
- Providing information to the maker of the PID about the importance of maintaining confidentiality and advising them how best to protect their identity, for example, by telling them not to discuss their report with other staff.

If confidentiality cannot be maintained or is unlikely to be maintained, Council will:

- Advise the person whose identity may become known
- Update our risk assessment and risk management plan
- Implement strategies to minimise the risk of detrimental action
- Provide additional supports to the person who made the PID
- Remind persons who become aware of the identifying information of the consequences for failing to maintain confidentiality and that engaging in detrimental action is a criminal offence and may also be a disciplinary matter.

d) How Council will assess and minimise the risk of detrimental action

Council will not tolerate any detrimental action being taken by any person against a person who has made a PID, investigators, witnesses or the person the report is about.

Council will assess and take steps to mitigate detrimental action from being taken against the maker of a voluntary PID, the person whose conduct is the subject of a PID, investigators and witnesses, including:

- Explaining that a risk assessment will be undertaken, and a risk management plan will be created (including reassessing the risk throughout the entirety of the matter)
- Providing details of the person/s that will be responsible for undertaking a risk assessment
- Explaining the approvals for risk assessment and the risk management plan, that is, the position of the person who has final approval
- Explaining how Council will communicate with the maker to identify risks
- Listing the protections that will be offered, that is, Council will discuss protection options with the maker which may include remote working or approved leave for the duration of the investigation
- Outlining what supports will be provided.



Detrimental action against a person is an act or omission that causes, comprises, involves or encourages detriment to a person or a threat of detriment to a person (whether express or implied). Detriment to a person includes:

- Injury, damage or loss
- Property damage
- Reputational damage
- Intimidation, bullying or harassment
- Unfavourable treatment in relation to another person's job
- Discrimination, prejudice or adverse treatment
- Disciplinary proceedings or disciplinary action
- Any other type of disadvantage.

Detrimental action does not include:

- Lawful action taken by a person or body to investigate serious wrongdoing or other misconduct
- The lawful reporting or publication of a finding of serious wrongdoing or other misconduct
- The lawful making of adverse comment, resulting from investigative action
- The prosecution of a person for a criminal offence
- Reasonable management action taken by someone in relation to a person who made or may make a PID. For example, a reasonable appraisal of a PID maker's work performance.

e) How Council will deal with allegations of a detrimental action offence

If Council becomes aware of an allegation that a detrimental action offence has occurred or may occur, we will:

- Take all steps possible to stop the action and protect the person(s)
- Take appropriate disciplinary action against anyone that has taken detrimental action
- The Disclosure Coordinator will refer any evidence of a detrimental action offence to the Commissioner of Police and the ICAC or the Law Enforcement Conduct Commission (whichever is applicable)
- The Disclosure Coordinator will notify the NSW Ombudsman about the allegation of a detrimental action offence being committed.

f) What Council will do if an investigation finds that serious wrongdoing has occurred

If, after an investigation, it is found that serious wrongdoing or other misconduct has occurred, Council will take the most appropriate action to address that wrongdoing or misconduct. This is also known as corrective action.

Corrective action can include:

- A formal apology
- Improving internal policies to adequately prevent and respond to similar instances of wrongdoing
- Providing additional education and training to staff where required
- Taking employment action against persons involved in the wrongdoing (such as termination of employment, relocation, a caution or reprimand)
- Payment of compensation to people who have been affected by serious wrongdoing or other misconduct.



14. REVIEW AND DISPUTE RESOLUTION

a) Internal review

People who make voluntary PIDs can seek internal review of the following decisions made by Council:

- That Council is not required to deal with the report as a voluntary PID
- To stop dealing with the report because we decided it was not a voluntary PID
- To not investigate the serious wrongdoing and not refer the report to another agency
- To cease investigating the serious wrongdoing without either completing the investigation or referring the report to another agency for investigation.

Council will ensure internal reviews are conducted in compliance with the PID Act.

If you would like to make an application for an internal review, you must apply in writing within 28 days of being informed of Council's decision. The application should be addressed to Council's Disclosure Coordinators or your previous point of contact. The application should state the reasons why you consider the decision should not have been made. You may also submit any other relevant material with your application.

b) Voluntary dispute resolution

If a dispute arises between Council and a person who has made a report which is, or may be, a voluntary PID, we may request the NSW Ombudsman to conciliate the dispute. Conciliation is a voluntary process and will only be suitable for disputes where Council and the maker of the report are willing to resolve the dispute.

15. OTHER COUNCIL OBLIGATIONS

a) Recordkeeping requirements

Council must keep full and accurate records with respect to all information received in connection with the PID Act. This ensures that Council complies with its obligations under the State Records Act 1998.

Records relating to a PID report will be registered in Council's records management system and security and access controls will be applied to all documents regarding reports made in accordance with the PID Act.

b) Reporting of voluntary PIDs and Council's annual return to the Ombudsman

Each year Council provides an annual return to the NSW Ombudsman which includes:

- Information about voluntary PIDs received by Council during each return period (yearly with the start date being 1 July)
- Action taken by Council to deal with voluntary PIDs during the return period
- How Council promoted a culture in the workplace where PIDs are encouraged.

A Disclosure Coordinator is responsible for collecting the relevant information and producing the annual return.



c) How Council will ensure compliance with the PID Act and this Policy

The Governance Branch will be responsible for ensuring compliance with the PID Act and this Policy by:

- Keeping apprised of updates to the PID Act and Regulation to ensure that the Policy remains consistent with the legislation
- Reviewing the Policy after a disclosure is made to ensure that it was accurate, functional for the user, and informative
- Comparing this Policy against guidelines, advice and resources provided by the NSW Ombudsman to promote best practice.

Any non-compliances with the PID Act and this Policy will be managed by:

- Making changes to this Policy when required by legislation or if non-compliances are discovered through review
- Providing advice and training to relevant employees to address the non-compliances
- Intentional non-compliance with the PID Act and this Policy could result in disciplinary action against the perpetrator/s.

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16. APPENDICES

Appendix A – Disclosure Officers

Location	Position
Administration Building	<ul style="list-style-type: none"> • General Manager (and the Mayor if the disclosure is about the General Manager) • Director Corporate Services (Disclosure Coordinator) • Director City Planning • Director Infrastructure Services • General Counsel • Manager Governance and Risk (Disclosure Coordinator) • Manager People and Development
Companion Animal Shelter	Coordinator Animal Services & Community Safety
Wilberforce Depot	Executive Manager Infrastructure Services
Hawkesbury Library and Gallery Hawkesbury Regional Museum	Manager Cultural Services
McGraths Hill Sewage Treatment Plant South Windsor Sewage Treatment Plant	Manager Wastewater
Visitor Information Centre	Visitor Information Centre Coordinator
Waste Management Facility	Manager Resource Recovery

If you work at a Council worksite not listed above, it has been determined that there is not a staff member in a senior position who can act as a Disclosure Officer at that site.

You can make a public interest disclosure report to **any** listed Disclosure Officers, or to your Manager who must forward your report to one of the Disclosure Officers.

A list of contact details is available on Council's intranet.

If you do not have access to Council's intranet or want to make an enquiry regarding public interest disclosures, you can call Council at (02) 4560 4444 or email Council at council@hawkesbury.nsw.gov.au.



Appendix B – List of integrity agencies

Integrity agency	What they investigate	Contact information
The NSW Ombudsman	Most kinds of serious maladministration by most agencies and public officials (but not NSW Police, judicial officers or MPs)	Telephone: 1800 451 524 between 9am to 3pm Monday to Friday Writing: Level 24, 580 George Street, Sydney NSW 2000 Email: info@ombo.nsw.gov.au
The Auditor-General	Serious and substantial waste of public money by auditable agencies	Telephone: 02 9275 7100 Writing: GPO Box 12, Sydney NSW 2001 Email: governance@audit.nsw.gov.au
Independent Commission Against Corruption	Corrupt conduct	Telephone: 02 8281 5999 or toll free on 1800 463 909 (callers outside Sydney) between 9am and 3pm, Monday to Friday Writing: GPO Box 500, Sydney NSW 2001 or faxing 02 9264 5364 Email: icac@icac.nsw.gov.au
The Inspector of the Independent Commission Against Corruption	Serious maladministration by the ICAC or the ICAC officers	Telephone: 02 9228 3023 Writing: PO Box 5341, Sydney NSW 2001 Email: oiicac_executive@oiicac.nsw.gov.au
The Law Enforcement Conduct Commission	Serious maladministration by the NSW Police Force or the NSW Crime Commission	Telephone: 02 9321 6700 or 1800 657 079 Writing: GPO Box 3880, Sydney NSW 2001 Email: contactus@lecc.nsw.gov.au
The Inspector of the Law Enforcement Conduct Commission	Serious maladministration by the LECC or the LECC officers	Telephone: 02 9228 3023 Writing: GPO Box 5341, Sydney NSW 2001 Email: oilc_executive@oilc.nsw.gov.au
Office of the Local Government	Local government pecuniary interest contraventions	Email: olg@olg.nsw.gov.au
The Privacy Commissioner	Privacy contraventions	Telephone: 1800 472 679 Writing: GPO Box 7011, Sydney NSW 2001 Email: ipcinfo@ipc.nsw.gov.au
The Information Commissioner	Government information contraventions	Telephone: 1800 472 679 Writing: GPO Box 7011, Sydney NSW 2001 Email: ipcinfo@ipc.nsw.gov.au

