



# **Public Interest Disclosures Act – Internal Reporting Policy**

<b>Date policy was adopted by Council:</b>	28 September 2011
<b>Resolution number:</b>	251/11
<b>Previous Policy review date:</b>	June 2013
<b>Next Policy review date:</b>	July 2016
<b>Reference number:</b>	C1185055

## **1. PURPOSE AND CONTEXT OF THE POLICY**

*This policy establishes the council's commitment to supporting and protecting staff if they report wrongdoing. It should then explain the process for handling reports that are classified as protected disclosures under the Public Interest Disclosures Act 1994 (PID Act).*

*The policy should:*

- *be clearly and strongly endorsed by the Mayor and General Manager*
- *show the council's commitment to high standards of ethical and accountable conduct and confirm that it will not tolerate any form of wrongdoing*
- *conform with the council's code of conduct*
- *address the relevant provisions of the PID Act*
- *clearly state that staff who come forward and report wrongdoing are helping to promote integrity, accountability and good management within the council.*

*Also:*

- *outline the council's broader responsibilities under the PID Act, such as recording and reporting on reports of wrongdoing*
- *clearly state that the policy applies to council staff, as well as councillors*
- *clearly state that it is supported by procedures based on the Ombudsman's guidelines*
- *refer to any other relevant policies or procedures, such as the council's code of conduct and grievance policy, and provide information about how staff can access that information.*

## **2. ORGANISATIONAL COMMITMENT**

*For a council to be able to deal effectively with staff reports of wrongdoing, it must have the right culture. This policy makes a strong commitment by the Council to:*

- *creating a climate of trust, where staff are comfortable and confident about reporting wrongdoing*
- *encouraging staff to come forward if they have witnessed what they consider to be wrongdoing within the council*
- *keeping the identity of the staff member disclosing wrongdoing confidential, wherever possible and appropriate*
- *protecting staff who make disclosures from any adverse action motivated by their report*
- *dealing with reports thoroughly and impartially and if some form of wrongdoing has been found, taking appropriate action to rectify it*
- *keeping staff who make reports informed of their progress and the outcome*
- *encouraging staff to report wrongdoing within the council, but respecting any decision to disclose wrongdoing outside the council – provided that disclosure outside the council is made in accordance with the provisions of the PID Act*
- *ensuring managers and supervisors at all levels in the council understand the benefits of reporting wrongdoing, are familiar with this policy, and aware of the needs of those who report wrongdoing*
- *providing adequate resources, both financial and human, to:*

- *encourage reports of wrongdoing*
- *protect and support those who make them*
- *provide training for key personnel*
- *investigate allegations*
- *properly manage any workplace issues that the allegations identify or create*
- *correct any problem that is identified*
- *reassess / review the policy each year to ensure it is still relevant and effective.*

### **3. ROLES AND RESPONSIBILITIES OF STAFF**

*This policy will apply to:*

- *both council staff and councillors*
- *permanent employees, whether full-time or part-time*
- *temporary or casual employees*
- *consultants*
- *individual contractors working for the council.*

*The policy may also apply to other people who perform public official functions and their conduct and activities could be investigated by an investigating authority. This can include volunteers and those contracted to work for the council.*

*Staff should be encouraged to report known and suspected wrongdoing within the council. They should be reminded that this policy is just one of several relating to grievances and complaints, and provided with links and relevant information for the other policies. This should include the council code of conduct. Staff should also be encouraged to support those who have made disclosures, as well as protect and maintain their confidentiality. They must not victimise or harass anyone who has made a disclosure.*

### **4. What should be reported?**

You should report any wrongdoing you see within the *Queanbeyan City Council*. Reports about the four categories of serious wrongdoing – corrupt conduct, maladministration, serious and substantial waste of public money, and government information contravention – will be dealt with under the PID Act as protected disclosures and according to this policy.

#### **a. Corrupt conduct**

Corrupt conduct is the dishonest or partial exercise of official functions by a public official.

For example, this could include:

- *the improper use of knowledge, power or position for personal gain or the advantage of others*
- *acting dishonestly or unfairly, or breaching public trust*
- *a member of the public influencing or trying to influence a public official to use their position in a way that is dishonest, biased or breaches public trust.*

#### **b. Maladministration**

Maladministration is conduct that involves action or inaction of a serious nature that is contrary to law, unreasonable, unjust, oppressive or improperly discriminatory or based wholly or partly on improper motives.

For example, this could include:

- *making a decision and/or taking action that is unlawful*

- *refusing to grant someone a licence for reasons that are not related to the merits of their application.*
- *actions based on improper motives*

**c. Serious and substantial waste in local government**

Serious and substantial waste is the uneconomical, inefficient or ineffective use of resources that could result in the loss or wastage of local government money. This includes all revenue, loans and other money collected, received or held by, for or on account of the council.

For example, this could include:

- *poor project management practices leading to projects running over time*
- *having poor or no processes in place for a system involving large amounts of public funds.*
- *Failure to implement controls that allow waste to occur or continue.*

**d. Government information contravention**

A government information contravention is a failure to properly fulfil functions under the *Government Information (Public Access) Act 2009* (GIPA Act).

For example, this could include:

- *destroying, concealing or altering records to prevent them from being released*
- *knowingly making decisions that are contrary to the legislation*
- *directing another person to make a decision that is contrary to the legislation.*

**e. Other wrongdoing**

Although reports about the previous four categories of conduct can attract the specific protections of the PID Act, you should report all activities or incidents that you believe are wrong.

For example, these could include:

- *harassment or unlawful discrimination*
- *reprisal action against a person who has reported wrongdoing*
- *practices that endanger the health or safety of staff or the public.*

These types of issues should be reported to a supervisor, in line with the *Queanbeyan City Council's* policies.

*Such policies and processes include:*

- *Councils Code of Conduct*
- *Council and Staff Interaction Policy*
- *Fraud Control Policy*
- *Gifts and Benefits Policy*
- *Dispute and Grievance Procedure*
- *Guidelines for Staff Complaints.*

Even if these reports are not dealt with as protected disclosures, the *Queanbeyan City Council* will consider each matter and make every attempt to protect the staff member making the report from any form of reprisal.

*Further guidance on reportable instances and contraventions can be found in the NSW Ombudsman's guidelines on Public Interest Disclosures.*

## **5. When will a report be protected?**

The *Queanbeyan City Council* will support any staff who report wrongdoing. For a report to be considered a protected disclosure, it has to meet all of the requirements under the PID Act. These requirements are:

- *The person making the disclosure **must honestly** believe on reasonable grounds that the information shows or tends to show wrongdoing.*
- *The report has to be made to one or more of the following:*
  - *a position nominated in this policy – see section 9 (b) & (c) below*
  - *the General Manager*
  - *one of the investigating authorities nominated in the PID Act – see section 10 below*

Reports by staff and councillors will not be considered to be protected disclosures if they:

- *mostly question the merits of government policy, including the policy of the governing body of the council.*
- *are made with the sole or substantial motive of avoiding dismissal or other disciplinary action.*

## **6. How to make a report**

You can report wrongdoing in writing or verbally. You are encouraged to make a report in writing as this can help to avoid any confusion or misinterpretation.

If a report is made verbally, the person receiving the report must make a comprehensive record of the disclosure and ask the person making the disclosure to sign this record. The staff member should keep a copy of this record.

If you are concerned about being seen making a report, ask to meet in a discreet location away from the workplace.

## **7. Can a report be anonymous?**

There will be some situations where you may not want to identify yourself when you make a report. Although these reports will still be dealt with by the *Queanbeyan City Council*, it is best if you identify yourself. This allows us to provide you with any necessary protection and support, as well as feedback about the outcome of any investigation into the allegations.

It is important to realise that an anonymous disclosure may not prevent you from being identified. If we do not know who made the report, it is very difficult for us to prevent any reprisal action.

## **8. Maintaining confidentiality**

The *Queanbeyan City Council* realises many staff will want their report to remain confidential. This can help to prevent any action being taken against you for reporting wrongdoing.

We are committed to keeping your identity, and the fact you have reported wrongdoing, confidential. However there may be situations where this may not be possible or appropriate. We will discuss with you whether it is possible to keep your report confidential.

If confidentiality cannot be maintained, we will develop a plan to support and protect you from risks of reprisal. You will be involved in developing this plan. You will also be told if your report will be dealt with under the council's code of conduct, as this may mean certain information will have to be tabled at a council meeting.

If you report wrongdoing, you should only discuss your report with those dealing with it. This will include the disclosures coordinator and the General Manager. If you discuss your report more broadly, you may affect the outcome of any investigation.

## **9. Who can receive a report within the *Queanbeyan City Council*?**

You are encouraged to report general wrongdoing to your supervisor. However the PID Act requires that – for a report to be a protected disclosure – it must be made to a public official in accordance with the council's disclosure procedures. For the *Queanbeyan City Council*, this means this policy and any supporting procedures.

Any supervisor who receives a report that they believe may be a protected disclosure must refer the staff member making the report to one of the positions listed below.

If you are council staff and your report involves a councillor, you should make it to the General Manager or the Mayor. If you are a councillor and your report is about another councillor, you should make it to the General Manager or the Mayor.

The following positions are the only staff within the *Queanbeyan City Council* who can receive a protected disclosure.

### **a. General Manager**

You can report wrongdoing directly to the General Manager. The General Manager is responsible for:

- *deciding if a report is a protected disclosure*
- *determining what needs to be done next, including referring it to other authorities*
- *deciding what needs to be done to correct the problem that has been identified.*

The General Manager must make sure there are systems in place in the *Queanbeyan City Council* to support and protect staff who report wrongdoing.

They are also responsible for referring actual or suspected corrupt conduct to the Independent Commission Against Corruption.

*The General Manager is Mr Gary Chapman telephone 6285 6208.*

### **b. Mayor**

If you are making a report about the General Manager, you should make your report to the Mayor. They are responsible for:

- *deciding if a report is a protected disclosure*
- *determining what needs to be done next, including referring it to other authorities*
- *deciding what needs to be done to correct the problem that has been identified.*

The Mayor must make sure there are systems in place in the *Queanbeyan City Council* to support and protect staff who report wrongdoing.

If the report is about the General Manager, the Mayor is also responsible for referring actual or suspected corrupt conduct to the Independent Commission Against Corruption.

*The Mayor is Cr Tim Overall 6285 6299.*

**c. Disclosures Coordinator**

The disclosures coordinator has a central role in dealing with reports made by staff. They receive them, assess them, and refer them to the people within the *Queanbeyan City Council* who can deal with them appropriately.

*The council Disclosures Coordinator is Mr Bill Warne 6285 6513.*

**10. Who can receive a report outside of the Queanbeyan City Council**

Staff are encouraged to report wrongdoing within the *Queanbeyan City Council*, but internal reporting is not your only option. If you follow the guidance below, your report can still be a protected disclosure. You can choose to make your report to an investigating authority. You can do this first, or at any stage after your initial report to the *Queanbeyan City Council*. If your report is about the General Manager or the Mayor, you should consider making it to an investigating authority.

You can also choose to make a report to a Member of Parliament or a journalist, but only in limited circumstances.

**a. Investigating authorities**

The PID Act lists a number of investigating authorities in NSW that staff can report wrongdoing to and the categories of wrongdoing each authority can deal with.

In relation to council, these authorities are:

- *the Independent Commission Against Corruption (ICAC) — for corrupt conduct*
- *the Ombudsman — for maladministration*
- *the Police Integrity Commission (PIC) — for police misconduct*
- *the PIC Inspector — for disclosures about the PIC or its staff*
- *the Division of Local Government, Department of Premier and Cabinet — for serious and substantial waste in local government (reports about serious and substantial waste in State government agencies should be made to the Auditor General)*
- *the ICAC Inspector — for disclosures about the ICAC or its staff*
- *the Information Commissioner — for disclosures about a government information contravention.*

You should contact the relevant authority for advice about how to make a disclosure to them. Contact details for each investigating authority are provided at the end of this policy.

You should be aware that it is very likely the investigating authority will discuss the case with the *Queanbeyan City Council*. We will make every effort to assist and cooperate with the investigating authority to ensure the matter is dealt with appropriately and there is a satisfactory outcome. We will also provide appropriate support and assistance to staff who report wrongdoing to an investigating authority.

**b. Members of Parliament or journalists**

To have the protections of the PID Act, staff reporting wrongdoing to a Member of Parliament (MP) or a journalist must have already made substantially the same report to one of the following:

- *the General Manager*
- *a person nominated in this policy*
- *an investigating authority in accordance with the PID Act.*

Also, the *Queanbeyan City Council* or investigating authority that received the report must have either:

- *decided not to investigate the matter*
- *decided to investigate the matter, but not completed the investigation within six months of the original report*
- *investigated the matter but not recommended any action as a result*
- *not told the person who made the report, within six months of the report being made, whether the matter will be investigated.*

Most importantly – to be protected under the PID Act – if you report wrongdoing to an MP or a journalist you will need to be able to prove that you have reasonable grounds for believing that the disclosure is substantially true and that it is in fact substantially true.

If you report wrongdoing to a person or an organisation that is not listed above, you will not be protected under the PID Act. This may mean you will be in breach of legal obligations or *Queanbeyan City Council* code of conduct – by, for example, disclosing confidential information.

For more information about reporting wrongdoing outside the *Queanbeyan City Council*, contact the disclosures coordinator or the NSW Ombudsman's Public Interest Disclosures Unit. Their contact details are provided at the end of this policy.

#### **11. Feedback to staff who report wrongdoing**

Staff who report wrongdoing will be told what is happening in response to their report.

When you make a report, you will be given:

- *an acknowledgement that your disclosure has been received*
- *the timeframe for when you will receive further updates*
- *the name and contact details of the people who can tell you what is happening.*

This information will be given to you within two working days from the date you make your report.

After a decision is made about how your report will be dealt with, you will be given:

- *information about the action that will be taken in response to your report*
- *likely timeframes for any investigation*
- *information about the resources available within Queanbeyan City Council to handle any concerns you may have*
- *information about external agencies and services you can access for support.*

This information will be given to you within 10 working days from the date you make your report.

During any investigation, you will be given:

- *information on the ongoing nature of the investigation*
- *information about the progress of the investigation and reasons for any delay*
- *advice if your identity needs to be disclosed for the purposes of investigating the matter, and an opportunity to talk about this.*

At the end of any investigation, you will be given:

- *enough information to show that adequate and appropriate action was taken and/or is proposed to be taken in response to your disclosure and any problem that was identified*
- *advice about whether you will be involved as a witness in any further matters, such as disciplinary or criminal proceedings.*

## **12. Protection against reprisals**

The PID Act provides protection for people reporting wrongdoing by imposing penalties on anyone who takes detrimental action substantially in reprisal for them making the protected disclosure.

The *Queanbeyan City Council* will not tolerate any reprisal action against staff who report wrongdoing. The criminal penalties that can be imposed include imprisonment or fines. Detrimental action is also misconduct that justifies disciplinary action. People who take detrimental action against someone who has made a disclosure can also be required to pay damages for any loss suffered by that person.

Detrimental action means action causing, comprising or involving any of the following:

- *injury, damage or loss*
- *intimidation or harassment*
- *discrimination, disadvantage or adverse treatment in relation to employment*
- *dismissal from, or prejudice in, employment*
- *disciplinary proceedings.*

### **a. Responding to reprisals**

The *Queanbeyan City Council* will act to protect staff who report wrongdoing from reprisals.

When a report is received, we will ensure that a thorough risk assessment is conducted. This will identify any risks to the member of staff who reported the wrongdoing, as well as strategies to deal with those risks.

If you believe that detrimental action has been or is being taken against you or someone else who has reported wrongdoing in reprisal for making a report, you should tell your supervisor, the disclosures coordinator or the General Manager immediately.

All supervisors must report any suspicions they have that reprisal action against a staff member is occurring, or any reports that are made to them, to the disclosures coordinator or the General Manager. If the disclosures coordinator becomes aware of reprisal action against a person who has made a disclosure, they will:

- *ensure a senior and experienced member of staff, who has not been involved in dealing with the initial disclosure, will investigate the suspected reprisal*
- *give the results of that investigation to the General Manager for a decision*
- *give the results of that investigation to the Mayor for a decision if the allegation of reprisal action is about the General Manager*
- *if it has been established that reprisal action is occurring against someone who has made a disclosure, take all steps possible to stop that activity and protect the member of staff who made the disclosure*
- *take appropriate disciplinary or criminal action against anyone proven to have taken or threatened any action in reprisal for making a disclosure.*

If you report reprisal action, you will be kept informed of the progress of any investigation and the outcome.

The General Manager may issue specific directions to help protect against reprisals. If the allegation of reprisal action is about the General Manager, the Mayor may issue similar directions. These may include:

- *issuing warnings to those alleged to have taken reprisal action against the member of staff who made the disclosure*
- *relocating the member of staff who made the disclosure or the subject officer within the current workplace*

- *transferring the member of staff who made the disclosure or the staff member who is the subject of the allegation to another position for which they are qualified*
- *granting the member of staff who made the disclosure or the subject officer leave of absence during the investigation of the disclosure.*

These directions will only be taken if the member of staff who made the disclosure agrees to it. The disclosures coordinator will make it clear to other staff that this action was taken in consultation with the staff member and with management support – and it is not a punishment.

If you have reported wrongdoing and feel that any reprisal action is not being dealt with effectively, contact the Ombudsman or the ICAC – depending on the type of wrongdoing you reported. Contact details for all these investigating authorities are included at the end of this policy.

***b. Protection against legal action***

If you make a disclosure in accordance with the PID Act, you will not be subject to any liability and no action, claim or demand can be taken against you for making the disclosure. You will not have breached any confidentiality or secrecy obligations and you will have the defence of absolute privilege in defamation.

**13. Support for those reporting wrongdoing**

The *Queanbeyan City Council* will make sure that staff who have reported wrongdoing, regardless of whether they have made a protected disclosure, are provided with access to any professional support they may need as a result of the reporting process – such as stress management, counselling services, legal or career advice.

We also have staff who will support those who report wrongdoing. They are responsible for initiating and coordinating support, particularly to those who are suffering any form of reprisal.

*The Council has a Peer Support network for staff and an Employee Assistance Program whereby the services of Davison Trahaire Corpsych have been retained to provide counselling and support to staff. Contacts are:*

- *Peer Support - Further information is available on the Council intranet at <http://qccintra02/peer.htm> or Davidson Trahaire Corpsych - Telephone 1300 360 364*
- All supervisors must notify the disclosures coordinator if they believe a staff member is suffering any detrimental action as a result of disclosing wrongdoing.

**14. Sanctions for making false or misleading disclosures**

It is important that all staff are aware that it is a criminal offence under the PID Act to wilfully make a false or misleading statement when reporting wrongdoing.

**15. Support for the subject of a report**

The *Queanbeyan City Council* is committed to ensuring staff who are the subject of a report of wrongdoing are treated fairly and reasonably. If you are the subject of a report, you will be:

- treated fairly and impartially
- told your rights and obligations under our policies and procedures
- kept informed during any investigation
- given the opportunity to respond to any allegation made against you
- told the result of any investigation.

**16. Review**

This policy will be reviewed by council every twelve/eighteen months. For any advice or guidance about this review, contact the NSW Ombudsman's Public Interest Disclosures Unit.

**17. More information**

More information around protected disclosures is available on our intranet. Staff can also access advice and guidance from the *Queanbeyan City Council* disclosures coordinator and the NSW Ombudsman's website at [www.ombo.nsw.gov.au](http://www.ombo.nsw.gov.au).

**18. Resources**

The contact details for external investigating authorities that staff can make a protected disclosure to or seek advice from are listed below.

**For disclosures about corrupt conduct:**

Independent Commission Against Corruption (ICAC)  
Phone: 02 8281 5999  
Toll free: 1800 463 909  
Tel. typewriter (TTY): 02 8281 5773  
Facsimile: 02 9264 5364  
Email: [icac@icac.nsw.gov.au](mailto:icac@icac.nsw.gov.au)  
Web: [www.icac.nsw.gov.au](http://www.icac.nsw.gov.au)  
Address: Level 21, 133 Castlereagh Street, Sydney NSW 2000

**For disclosures about serious and substantial waste:**

Auditor-General of the NSW Audit Office  
Phone: 02 9275 7100  
Facsimile: 02 9275 7200  
Email: [mail@audit.nsw.gov.au](mailto:mail@audit.nsw.gov.au)  
Web: [www.audit.nsw.gov.au](http://www.audit.nsw.gov.au)  
Address: Level 15, 1 Margaret Street, Sydney NSW 2000

**For disclosures about police misconduct:**

Police Integrity Commission (PIC)  
Phone: 02 9321 6700  
Toll free: 1800 657 079  
Facsimile: 02 9321 6799  
Email: [contactus@pic.nsw.gov.au](mailto:contactus@pic.nsw.gov.au)  
Web: [www.pic.nsw.gov.au](http://www.pic.nsw.gov.au)  
Address: Level 3, 111 Elizabeth Street, Sydney NSW 2000

**For disclosures about maladministration:**

NSW Ombudsman  
Phone: 02 9286 1000  
Toll free (outside Sydney metro): 1800 451 524  
Tel. typewriter (TTY): 02 9264 8050  
Facsimile: 02 9283 2911  
Email: [nswombo@ombo.nsw.gov.au](mailto:nswombo@ombo.nsw.gov.au)  
Web: [www.ombo.nsw.gov.au](http://www.ombo.nsw.gov.au)  
Address: Level 24, 580 George Street, Sydney NSW 2000

**For disclosures about serious and substantial waste in local government agencies:**

Division of Local Government in the Department of Premier and Cabinet  
Phone: 02 4428 4100  
Tel. typewriter (TTY): 02 4428 4209  
Facsimile: 02 4428 4199  
Email: [dlg@dlg.nsw.gov.au](mailto:dlg@dlg.nsw.gov.au)  
Web: [www.dlg.nsw.gov.au](http://www.dlg.nsw.gov.au)  
Address: 5 O'Keefe Avenue, Nowra, NSW 2541

**For disclosures about breaches of the GIPA Act:**

Information Commissioner  
Toll free: 1800 463 626  
Facsimile: 02 8114 3756  
Email: [oinfo@oic.nsw.gov.au](mailto:oinfo@oic.nsw.gov.au)  
Web: [www.oic.nsw.gov.au](http://www.oic.nsw.gov.au)  
Address: Level 11, 1 Castlereagh Street, Sydney NSW 2000

<b>POLICY:-</b>	
<b>Policy No:</b>	
<b>Policy Title:</b>	Public Interest Disclosures Act - Internal Reporting Policy
<b>Date Policy was adopted by Council:</b>	28 September 2011
<b>Resolution Number:</b>	251/11
<b>Previous Policy Review Date:</b>	June 2013
<b>Next Policy Review Date:</b>	July 2016
<b>PROCEDURES/GUIDELINES:-</b>	
<b>Date Procedure/Guideline (if any) was developed:</b>	Nil
	Nil
<b>RECORDS:-</b>	Nil
<b>Container Reference in TRIM: Policy</b>	
<b>Container Reference in TRIM: Procedure</b>	
<b>Other locations of Policy:</b>	SF080616
<b>Other locations of Procedures/Guidelines:</b>	Intranet (linked to TRIM Container)
	Nil
<b>DELEGATION (if any):-</b>	
	Nil
<b>RESPONSIBILITY:-</b>	
<b>Draft Policy developed by:</b>	General Manager
<b>Committees (if any) consulted in the development of the Draft Policy:</b>	
<b>Responsibility for Implementation:</b>	General Manager
<b>Responsibility for Review of Policy:</b>	General Manager

<b>INTEGRATED PLANNING FRAMEWORK:</b>	
<b>Community Strategic Plan:</b>	Strategic Priority No. 6 – The Community
<b>Delivery Program Title:</b>	Group Manager – Internal Business
<b>Operational Plan:</b>	Program No. 110

<b>Senior Authorising Officer</b>	<b>Position</b> General Manager	<b>Signature/Date</b>  29 September 2011
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<b>ACTION</b>	<b>COUNCIL MEETING DATE</b>	<b>RESOLUTION NUMBER</b>	<b>REPORT ITEM NUMBER</b>
<b>NEW/RECONFIRMED/ AMENDED</b>			
New	15 April 1998	265	-
Amended	2 July 2008	367	-
Replaced	28 September 2011	251/11	Item 4

<b>DATE REVIEWED</b>	<b>REVIEWER POSITION</b>	<b>REVIEWER NAME</b>
June 2010	Public Officer	Bill Warne
8 July 2011	General Manager	Gary Chapman
28 June 2013	Executive Manager – legal & Internal Services	Bill Warne