



# Upper Lachlan Shire Council

## Public Interest Disclosure Procedure

### Contents

Public Interest Disclosure Procedure .....	1
1. Purpose.....	2
2. Application of this Procedure.....	2
3. Roles and Responsibilities of Upper Lachlan Shire Council staff .....	2
4. How to make a report of serious wrongdoing .....	4
5. Protections .....	6
6. Reporting detrimental action.....	7
7. How we will deal with voluntary and mandatory PIDs .....	7
8. Review and Dispute Resolution .....	9
9. Other agency obligations.....	10
Annexure A – Flow Chart of PID Process .....	11
Annexure B – Disclosure Officers for Upper Lachlan Shire Council .....	12
Annexure C – List of Integrity Agencies.....	13
Annexure D - PID Reporting Form.....	14
Annexure E - Checklist Information for Reporter .....	15
Annexure F – PID Officer Assessment Form.....	16

## 1. Purpose

This procedure sets out:-

- How Upper Lachlan Shire Council (Council) will support and protect those who come forward with a report of serious wrongdoing
- How Council 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 procedure also documents our commitment to fostering a 'speak-up' culture. A framework that facilitates public interest reporting of wrongdoing is critical to underpin this commitment. The following Procedures aim to:-

- Protect those who speak up from detrimental action
- Impose duties when receiving reports of wrongdoing to take appropriate action to investigate or otherwise deal with them.

A copy of the Public Interest Disclosures Policy (PID Policy) and PID Procedures are made available to all staff.

## 2. Application of this Procedure

This procedure applies to 'public officials', which includes Councillors, staff and contractors employed or engaged by Upper Lachlan Shire Council, volunteers and Section 355 committee members of Council.

The Chief Executive Officer, nominated disclosure officers Managers within Upper Lachlan Shire Council have specific responsibilities under the PID Act, as do all staff (as public officials). This procedure provides information on how people in these roles will fulfil their responsibilities.

For the purposes of the Act, Managers are the public official in the agency who oversees service functions or the person who directly or indirectly supervises them. At Upper Lachlan Shire Council this will include Department Directors, Managers, Supervisors, Co-ordinators, Team Leaders and Overseers.

An overview of the reporting process is set out in Annexure A.

Further information is available as follows:-

- A nominated Disclosure Officer within Upper Lachlan Shire Council (as listed in Annexure B)
- Contact with the PID Advice Team within the NSW Ombudsman by phone: (02) 9286 1000 or email: [pidadvice@ombo.nsw.gov.au](mailto:pidadvice@ombo.nsw.gov.au), or
- Access the NSW Ombudsman's PID guidelines which are available on its website.

## 3. Roles and Responsibilities of Upper Lachlan Shire Council staff

### (a) The Chief Executive Officer is responsible for:

- Compliance with the regulatory framework and maintaining a compliance based culture
- Fostering a workplace culture where reporting is encouraged
- Receiving disclosures and ensuring there is a system in place for assessing disclosures
- Ensuring the Upper Lachlan Shire Council complies with the PID Policy, PID Procedures and the PID Act
- Considering the appointment of an internal and/or external investigator as recommended by the PID Coordinator prior to Council proceeding with an engagement of an investigation

- Ensuring that the Upper Lachlan Shire Council has appropriate systems for:-
  - 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.

**(b) Disclosure Coordinator and Disclosure Officers**

The Disclosure Coordinator and Disclosure Officers are responsible for:-

- Receiving reports from public officials
- Receiving reports when they are passed on to them by Managers
- Ensuring reports are dealt with appropriately, including by referring the matter to other more appropriate processes e.g. handling as complaints or grievances
- Ensuring that any oral reports that have been received are recorded in writing
- The Disclosure Coordinator is the senior disclosure officer responsible for coordinating disclosures, updating policy, procedures and templates, and submitting periodic reports.

**(c) Managers (including the position holders listed in Annexure B)**

The responsibilities of Managers include:-

- Receiving reports from persons that report to them or that they supervise
- Passing on reports they receive to a Disclosure Officer (as a mandatory disclosure).

**(d) All employees**

All employees must:-

- Report suspected serious wrongdoing or other misconduct
- Use their best endeavours to assist in an investigation of serious wrongdoing if asked to do so by a person dealing with a voluntary PID on behalf of Upper Lachlan Shire Council
- Treat any person dealing with or investigating reports of serious wrongdoing with respect.

All employees must not take detrimental action against any person who has made, may in the future make, or is suspected of having made, a PID.

**(e) Mayor**

The Mayor may receive reports from Councillors and the Disclosure Coordinator about the Chief Executive Officer. Where the Mayor receives such reports, the Mayor has a responsibility to manage the report in accordance with these PID Procedures. The responsibilities of the Mayor include:-

- Liaise with the Disclosure Coordinator to assess the reports to determine whether or not they should be treated as a public interest disclosure, and to decide how they will be dealt with
- Refer reports to an investigating authority, where appropriate
- Liaise with the Disclosures Coordinator to ensure strategies in place to support reporters and protect reporters from reprisal may arise in relation to a report
- Refer actual or suspected corrupt conduct to the ICAC.

## 4. 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 (including Council), their report will be a PID if it has the features below. If an internal complaint or grievance is a report of serious wrongdoing, we will deal with it as set out in this policy.

### (b) When will a report be a PID?

There are three types of PIDs. These are:-

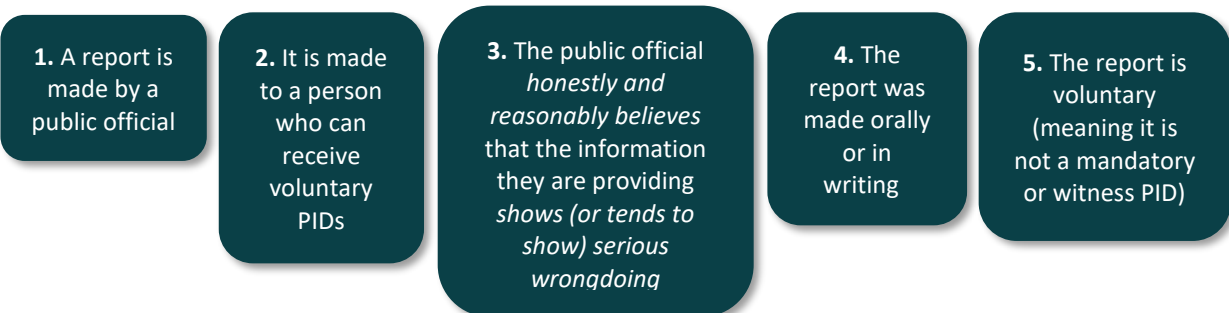
**Voluntary PID:** This is a PID where a report has been made because they decided to come forward and disclose what they know.

**Mandatory PID:** This is a PID where a report is made because there is a legal obligation to make that report. Examples include the mandatory requirement for managers to report voluntary PID made to them to a Disclosure Officer, the requirement of the CEO to report corruption to ICAC, the requirements of an auditor and also an investigator, to report outcomes of their audit and investigations.

**Witness PID:** This is a PID where a person discloses information during an investigation of serious wrongdoing following questioning by the investigator.

This procedure mostly relates to making voluntary and mandatory PIDs. Further information regarding Witness PIDs can be found in the Ombudsman's Guidelines - Dealing with Witness PIDs'.

A report is a voluntary PID if it has the following five features, which are set out in sections 24 to 27 of the PID Act:



### (c) Who can make a voluntary PID?

You can make a voluntary PID if:-

- You are employed by Upper Lachlan Shire Council
- You are an elected Councillor for Upper Lachlan Shire Council
- You are a contractor, subcontractor or volunteer who provides services, or exercises functions, on behalf of Upper Lachlan Shire Council, or
- You work for an entity (such as a non-government organisation) who is contracted by Upper Lachlan Shire Council to provide services or exercise functions on behalf of Council.

A public official can make a PID about serious wrongdoing relating to *any* agency, not just the agency they are working for, for example to the **(ICAC)** and the NSW Ombudsman. Annexure C of this Procedure has a list of integrity agencies you can report to if you are at all unsure about how any staff at Upper Lachlan Shire Council will process your report.

### (d) Who must make a mandatory PID?

Several types of public officials have a legal duty to report certain types of serious wrongdoing, while others may have a role or undertake functions where it is an ordinary requirement for them to report serious wrongdoing.

At Upper Lachlan Shire Council, the following people must make a mandatory PID report:-

- The Chief Executive Officer has a mandatory obligation to report suspected corrupt conduct (including some forms of maladministration)
- The Mayor has a mandatory obligation to report suspected corrupt conduct
- The Internal Auditor has a mandatory obligation to report findings of fraud and corrupt conduct
- All Managers have a mandatory obligation to provide the details of a report of serious wrongdoing made by staff they supervise to a PID Officer.

### (e) What is serious wrongdoing?

Reports must be of one or more of the following categories of serious wrongdoing:-

- **Corrupt conduct** — such as a public official accepting a bribe, acting dishonestly, failing to report crime to the proper authorities.
- **Serious maladministration** — such as a Council systemically failing to comply with its own policy e.g. procurement policy, or the Council fails to ensure procedural fairness in the treatment of staff or customers.
- **A serious and substantial waste of public money** — such as an agency not following procurement processes that demonstrate value for money, misuse of public property, programs not aligning with Operational Plans, wasting time and resources on non-core business, failing to maintain assets.
- **A government information contravention** — such as failing to keep proper records, or destroying, concealing or altering records to prevent them from being released under a *Government Information (Public Access) Act* (GIPA) application.
- **A privacy contravention** — such as unlawfully accessing a person's personal information in Council's records management system and contravening *the Privacy and Personal Information Protection Act*.
- **A local government pecuniary interest contravention** — such as a senior council staff member recommending a family member or friend for a council contract and not declaring the relationship.

When you make your report, you do not need to state to the PID Disclosure Officer what category of serious wrongdoing you are reporting and you do not have to assess how serious the wrongdoing is. In many cases, the seriousness is assessed by how often the wrongdoing occurs, which indicates a culture of non-compliance.

### (f) Who can I make a voluntary PID to?

You can make a report inside Upper Lachlan Shire Council to:-

- Chief Executive Officer
- The Disclosure Coordinator and Disclosure Officers — a list of disclosure officers and their contact details can be found at Annexure B of this procedure
- 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 no matter what their title is.

If you are making a report in person, it is recommended to make an appointment with a PID Officer to ensure you may have the conversation in a private area where you and the PID Officer will not be disturbed or observed by others (if the PID Officer is not a person you would usually work with).

You can also make disclosures to MPs or journalists but only in specific circumstances. Should you need further details of this kind of report, contact the PID Coordinator or the NSW Ombudsman's Office.

### **(g) 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 a letter to a person who will not recognise your hand writing, or telephone a person who will not recognise your voice and do not provide your name or anything that might identify you as the maker of the report.

Even if you choose to remain anonymous, you will still be protected under the PID Act. It may be difficult to investigate the matter(s) you have disclosed if a Council officer cannot contact you for further information.

### **(h) What should I include in my report?**

You should provide as much information as possible so we can deal with the report effectively for example date, time and location of key events, names of people and their job, what you are reporting and how you became aware of the wrongdoing. You can use the PID Reporting Form at Annexure D as a guide of what to include.

### **(i) 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 Upper Lachlan Shire Council to understand what is or may be occurring.

### **(j) Deeming that a report is a voluntary PID**

The Chief Executive Officer can, in certain circumstances, deem 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.

## **5. Protections**

When you make a voluntary PID you receive special protections under the PID Act. Council 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*
  - 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 a PID Officer becomes aware that a PID has been made by a person employed or otherwise associated with Council that concerns serious wrongdoing relating to Council, The PID Officer will undertake a risk assessment using the *NSW Ombudsman Assessing Risks of Reprisals and Conflict Guidelines* 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.
  - A person can apply for a court order (injunction) where detrimental action is threatened or has occurred (for example, an order to prevent dismissal or to require reinstatement).

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.

- *Immunity from civil and criminal liability*

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.

- *Confidentiality*

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.

- *Protection from liability for own past conduct*

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.

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

## **6. 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 the PID Coordinator, or to an integrity agency. A list of integrity agencies is located at Annexure C of this procedure.

## **7. How we will deal with voluntary and mandatory PIDs**

### **(a) How we will receive PIDs**

The flowchart at Annexure A sets out the steps involved in the PID process.

The process starts with a report being made to a PID Officer, or a Manager. The report will be recorded using the Reporting Form at Annexure D. When a report is received by the PID Officer, or a manager we will look at the information to see if it has the features of a voluntary or a mandatory PID, to make sure that the right steps are followed.

If you are not happy with our processes, you can raise it with the person who has communicated the outcome with you or a disclosure officer, and request an internal review or request that the matter be conciliated. Upper Lachlan Shire Council can request the NSW Ombudsman to conciliate the matter.

### **(b) How we will acknowledge that we have received a report and keep the person who made it informed**

When a PID Officer receives a report, the person who made the report will receive acknowledgment that the report has been received, in the format of the Checklist Form annexed at Annexure E. It will include details of how we intend to deal with the report.

If we decide 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.

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. We will always balance the right of a person who makes a report to know the outcome of that report, with other legal obligations we have.

If you have made an anonymous report, we may not be able to provide this information to you.

### **(c) How we will protect confidentiality**

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 an agency. 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 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.

We 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 we progress 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.

### **(d) How we will assess and minimise the risk of detrimental action**

Upper Lachlan Shire Council will take steps to assess and minimise the risk of detrimental action by:-

- Explaining how the agency will communicate with the maker to identify risks
- Listing the protections that will be offered, which may include remote working or approved leave for the duration of the investigation
- Outlining what supports will be provided.

### **(e) How we will deal with allegations of a detrimental action offence**

If Upper Lachlan Shire Council become(s) aware of an allegation that a detrimental action offence has occurred or may occur, Upper Lachlan Shire Council 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
- Refer any evidence of a detrimental action offence to the ICAC
- Notify the NSW Ombudsman about the allegation of a detrimental action offence being committed.

### **(f) How will Upper Lachlan Shire Council investigate wrongdoing**

#### **Internal investigation**

The PID Act requires an agency to decide how to deal with a PID, including whether to investigate. Any investigation would need to be conducted in accordance with applicable laws in relation to suspected serious wrongdoing. An internal investigation may be undertaken at the direction of the Chief Executive Officer in consultation with the PID Coordinator. An internal investigation may be on a preliminary or formal basis after clear identification of the scope of the investigation. It may be in the form of an audit or preliminary assessment of the PID.



## **External investigation**

Some investigations will require mandatory reporting to integrity agencies for investigation including OLG, ICAC, NSW Police, Audit Office and NSW Ombudsman and IPC. An external investigation will be engaged by the Chief Executive Officer in consultation with the PID Coordinator after consideration of the specific PID. Council may engage a suitably qualified legal professional to undertake an external investigation.

### **(g) What Upper Lachlan Shire 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, Upper Lachlan Shire 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
- Reporting outcomes to other agencies as required.

## **8. Review and Dispute Resolution**

### **(a) Internal Review**

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

- That Upper Lachlan Shire Council is not required to deal with the report as a voluntary PID
- To stop dealing with the report because Upper Lachlan Shire Council 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.

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

If you would like to make an application to the PID Coordinator or Chief Executive Officer for an internal review, you must apply in writing within 28 days of being informed of our decision. The application should state the reasons why you consider we 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 Upper Lachlan Shire 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 Upper Lachlan Shire Council and the maker of the report are willing to resolve the dispute.

## **9. Other agency obligations**

### **(a) Record-keeping requirements**

In accordance with the Council Records Management Policy, Upper Lachlan Shire Council must keep full and accurate records with respect to all information received in connection with the PID Act.

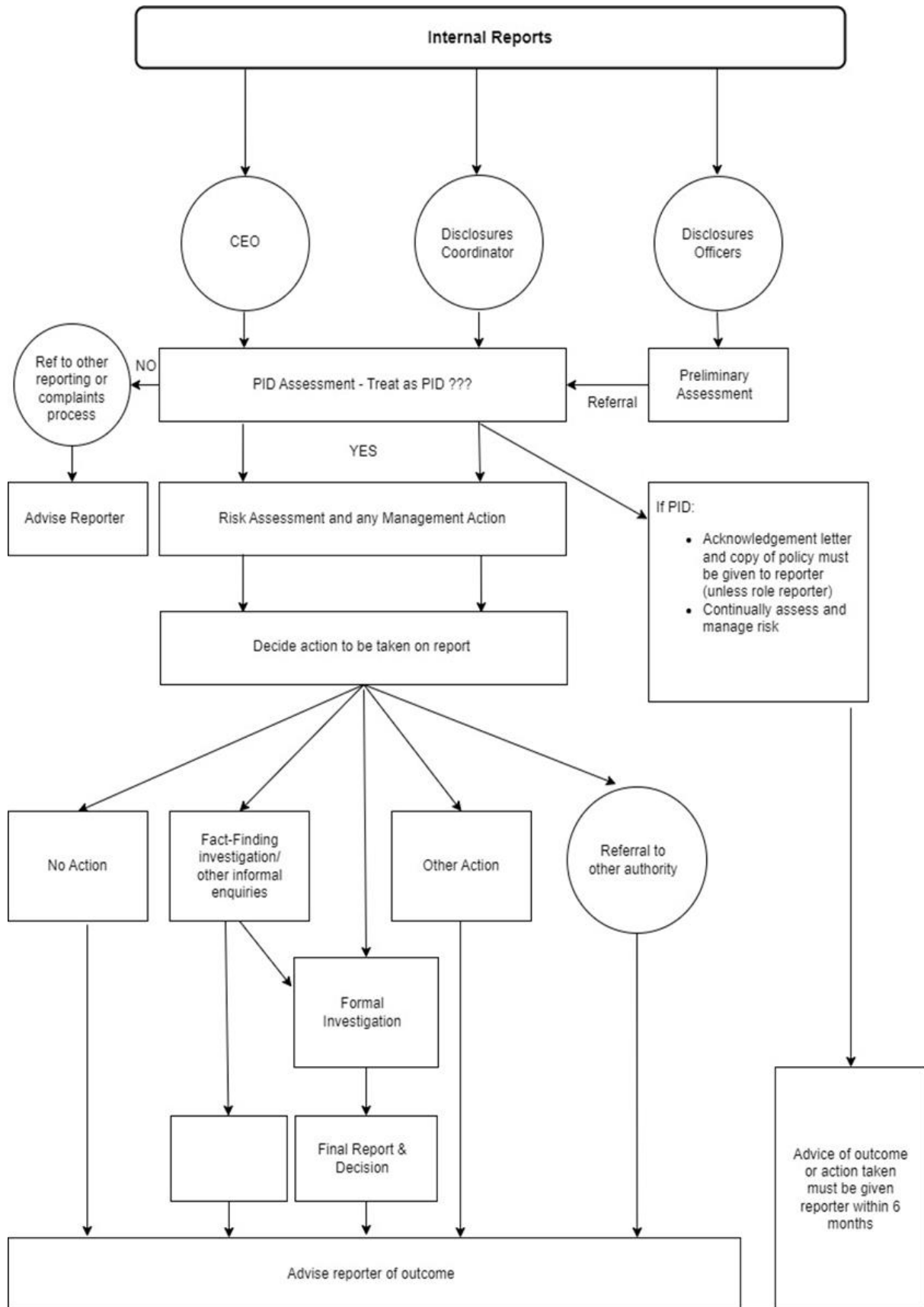
### **(b) Reporting of voluntary PIDs and Upper Lachlan Shire Council Annual Return to the Ombudsman**

Each year the PID Coordinator provides an Annual Return to the NSW Ombudsman which includes:-

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

Each PID Officer will be required to use the PID register to record the information they have received, for submission to the PID Coordinator on request.

## Annexure A – Flow Chart of PID Process



## **Annexure B — Disclosure Officers for Upper Lachlan Shire Council**

### **Executive PID**

Chief Executive Officer (Crookwell Office)  
Director Finance and Administration (Crookwell Office)  
Director Infrastructure (Crookwell Depot)  
Director Environment and Planning (Crookwell Office)

### **PID Coordinator**

Manager Governance (Crookwell Office)

### **PID Officers**

Administration Coordinator (Taralga Office)  
Manager Library Services (Crookwell Library)  
Manager Human Resources (Gunning Office)  
Fleet and Workshop Coordinator (Crookwell Depot)  
Manager of Waste, Water and Sewer (Water, Sewer and Waste work locations)  
Manager of Works (Crookwell and Gunning Depots)

## Annexure C — List of Integrity Agencies

Integrity agency	What they investigate	Contact information
<b>The NSW Ombudsman</b>	Most kinds of <b>serious maladministration</b> by most agencies and public officials	<b>Telephone:</b> 1800 451 524 <b>Writing:</b> Level 24, 580 George Street, Sydney NSW 2000 <b>Email:</b> <a href="mailto:info@ombo.nsw.gov.au">info@ombo.nsw.gov.au</a>
<b>The Auditor-General (Audit Office)</b>	<b>Serious and substantial waste of public money</b> by auditable agencies	<b>Telephone:</b> 02 9275 7100 <b>Writing:</b> GPO Box 12, Sydney NSW 2001 <b>Email:</b> <a href="mailto:governance@audit.nsw.gov.au">governance@audit.nsw.gov.au</a>
<b>Independent Commission Against Corruption (ICAC)</b>	<b>Corrupt conduct</b>	<b>Telephone:</b> 1800 463 909 <b>Writing:</b> GPO Box 500, Sydney NSW 2001 or faxing 02 9264 5364 <b>Email:</b> <a href="mailto:icac@icac.nsw.gov.au">icac@icac.nsw.gov.au</a>
<b>Office of the Local Government (OLG)</b>	<b>Local government pecuniary interest contraventions (Local Government Act)</b>	<b>Telephone:</b> (02) 4428 4100 <b>Writing:</b> Locked Bag 3015, Nowra NSW 2541 <b>Email:</b> <a href="mailto:olg@olg.nsw.gov.au">olg@olg.nsw.gov.au</a>
<b>The Privacy Commissioner (IPC)</b>	<b>Privacy contraventions (PIPPA Act)</b>	<b>Telephone:</b> 1800 472 679 <b>Writing:</b> GPO Box 7011, Sydney NSW 2001 <b>Email:</b> <a href="mailto:ipcinfo@ipc.nsw.gov.au">ipcinfo@ipc.nsw.gov.au</a>
<b>The Information Commissioner (IPC)</b>	<b>Government information contraventions (GIPA Act)</b>	<b>Telephone:</b> 1800 472 679 <b>Writing:</b> GPO Box 7011, Sydney NSW 2001 <b>Email:</b> <a href="mailto:ipcinfo@ipc.nsw.gov.au">ipcinfo@ipc.nsw.gov.au</a>

## Annexure D - PID Reporting Form

This document needs to be completed by individual reporting wrongdoing, or the PID Officer.

Details of Reporter (an anonymous report can be made)		
Date report being made		
Name: [or indicate if anonymous]		
Position:		
Division/Unit:		Preferred method of contact
Telephone:		<input type="checkbox"/>
Email:		<input type="checkbox"/>
Details of the matter being reporting		
Description of the wrongdoing being reported – <i>What Where When</i>		
Has this matter been reported previously, if yes insert details (e.g. when, and to who).		
Name and position of people involved, and others that may be aware		
How did you become aware of this?		
List and/or attach any additional relevant information or supporting evidence		
Concerns regarding reprisals		
Does the reporter require a support person		
<i>I have made this report voluntarily and I honestly believe that the matter I am reporting shows or tends to show wrongdoing has occurred.</i>		
Signature Reporter		Date
Signature PID Officer		Date
Date acknowledgement sent (within 2 days or report)		Date

## Annexure E - Checklist Information for Reporter

(Disclosure Officer to hand this document to the individual reporting wrongdoing and to discuss each point. All points checked and signed off by reporter and handed back to Disclosure Officer for filing).

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Please confirm that the following information was raised with you by the nominated disclosure officer during the initial discussion about your report of wrongdoing:

- Explanation of the internal reporting and public interest disclosure process and procedures.
- The name and contact details of the PID Coordinator.
- Explanation of the role and responsibility of the PID Coordinator.
- That an acknowledgement will be sent to you within two (2) days together with a copy of relevant policies and procedures.
- That the risk assessment will be completed within 5 working days and the determination (of whether further action is required) will be advised within 10 working days.
- That Council will take appropriate steps to keep your identity confidential and that there may be reasons where this is not possible.
- The importance of you maintaining confidentiality regarding this report and not discussing with other people.
- That Council will implement appropriate strategies to protect you from reprisal action that may result from making the report and will respond to any reprisal action that may occur.
- The contact details for the employee assistance program.
- The option of requesting a support person.
- Your preferred method of contact.
- You will be kept up to date every 3 months, as the process continues.

Name of Reporter: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of PID Officer \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

## Annexure F – PID Officer Assessment Form

To be completed by nominated PID Officer

Date report received by nominated disclosure officer		<input type="checkbox"/> Verbal report	<input type="checkbox"/> Written report
<b>Information provided to reporter:</b>			
<input type="checkbox"/> The contact details of the PID Coordinator and an explanation of their role and responsibilities in this process, and the checklist has been completed and provided to Reporter (within 2 days).			
<b>Type of PID Report</b>			
<b>Voluntary:</b> [made by the person directly – ongoing updates and reports required]			
<b>Mandatory:</b> [made by a manager or other person as a result of their lawful requirement, updates not required]			
<b>For reference to CEO/ HR:</b>			
Is the reporter currently / previously been the subject of <ul style="list-style-type: none"> <li>- performance issues <span style="float: right;"><input type="checkbox"/> Yes</span></li> <li>- disciplinary proceedings <span style="float: right;"><input type="checkbox"/> Yes</span></li> <li>- criminal investigation in relation to the subject matter? <span style="float: right;"><input type="checkbox"/> Yes</span></li> </ul>			
If yes, record details			
<b>Support</b>			
If the reporter wants a support person – who did they request, and has that person been contacted?			
<b>Initial assessment:</b>			
What is the category of wrongdoing?			
<input type="checkbox"/> Corrupt Conduct	<input type="checkbox"/> Contravention of the pecuniary interest of LGA		
<input type="checkbox"/> Maladministration	<input type="checkbox"/> Grievance		
<input type="checkbox"/> Serious & Substantial Waste	<input type="checkbox"/> Other		
<input type="checkbox"/> Contravention of the GIPA Act			
Reporter is a public official	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Matter reported is about the conduct of public official or public authority	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The reporter has an honest belief on reasonable grounds that the information they have reported shows or tends to show the alleged conduct	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The report does not principally involve questioning the merits of government policy	<input type="checkbox"/> Yes	<input type="checkbox"/> No	



There is no reason to conclude that the report was made solely or substantially with the motive of avoiding dismissal or other disciplinary action	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has the report been assessed as a PID?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
What are the dates for updating reporter:		
Will further follow up be required e.g. internal/ external investigation: [If yes, set out reasons]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
What was the outcome of the investigation:		
Signature – PID Officer	Date	