



Policy:

Internal Reporting

2022

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	22 March 2022	Updated following model circulated by Ombudsman July 2020 - relevant contact names and included hyperlinks Revision Resolution 10.03/22

Further Document Information and Relationships

Related Legislation*	<i>Public Interest Disclosures Act 1994</i> <i>Anti-Discrimination Act 1977</i> <i>Government Information (Public Access) Act 2009</i> <i>Independent Commission Against Corruption Act 1988</i> <i>Work Health and Safety Act 2014</i>
Related Policies	Policy: Related Party Disclosures Policy: Code of Conduct Policy: Complaints Management Policy: Provision of Information to and Interaction between Councillors and Staff Policy: Equal Employment Opportunity
Related Procedures/ Protocols, Statements, documents	Procedure: Grievance and Dispute Procedure: Workplace Bullying and Harassment NSW Ombudsman Guidelines, which can be accessed from: https://www.ombo.nsw.gov.au/news-and-publications/publications/guidelines/public-interest-disclosures

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1. Purpose and context of the policy

- 1.1 The purpose of this policy is to establish an internal reporting system for staff and Councillors to report wrongdoing without fear of reprisal. The policy sets out to whom a report of wrongdoing may be submitted to Uralla Shire Council, what can be reported and how reports of wrongdoing will be dealt with by Uralla Shire Council.
- 1.2 This policy is designed to complement normal communication channels between supervisors and staff. Staff are encouraged to raise matters of concern at any time with their supervisors, but also have the option of making a report about a public interest issue in accordance with this policy and the Public Interest Disclosures Act 1994 (PID Act).
- 1.3 This policy is just one in the suite of Council's complaint handling policies.
- 1.4 The internal reporting system established under this policy is not intended to be used for staff grievances, which should be raised through the relevant policy. If a staff member makes a report under this policy which is substantially a grievance, the matter will be referred to Human Resources to be dealt with in accordance with Council's staff grievance policy.

2. Organisational commitment

- 2.1 Uralla Shire Council is committed to dealing effectively with reports of wrongdoing and fostering a supportive culture, including:
 - create a climate of trust, where people are comfortable and confident about reporting wrongdoing
 - encourage staff to come forward if they are aware of wrongdoing within the Council
 - keep the identity of the staff member disclosing wrongdoing confidential, where this is possible and appropriate
 - protect staff from any adverse action resulting from them making a report
 - deal with reports thoroughly, impartially and in a timely manner
 - if some form of wrongdoing has been found, taking appropriate action to address it
 - keep staff who make a report informed of their progress and the outcome
 - encourage the reporting of wrongdoing within the Council, but respect any decision to disclose wrongdoing outside the Council that is made in accordance with the provisions of the PID Act
 - that managers and supervisors at all levels at Council understand the benefits of reporting wrongdoing, are familiar with this policy, and aware of the needs of those who report wrongdoing
 - review the policy periodically so that it remain relevant and effective
 - provide adequate resources, to:
 - facilitate reports of wrongdoing
 - protect and support those who make them
 - provide training for staff about how to make reports, and the benefits of internal reports to the Council and the public interest generally
 - properly assess and investigate or otherwise deal with allegations

- properly manage any workplace issues that the allegations identify or that result from a report
- appropriately address any identified problems.

2.2 This policy as adopted by Council is signed by both the Mayor and the General Manager.

2.3 Under the PID Act, the General Manager as the head of the public authority is responsible for ensuring that:

- the Council has an internal reporting policy
- the staff of the Council and Councillors are aware of the contents of the policy and the protection under the PID Act for people who make public interest disclosures
- the Council complies with the policy and the Council's obligations under the PID Act
- the policy delegates at least one staff member as being responsible for receiving public interest disclosures. Clause 3.15 of the Procedures for the Administration of the Model Code of Conduct for Local Councils in NSW requires the complaints coordinator to be a Disclosures Coordinator. The Ombudsman recommends Councils nominate more than one person as being responsible for receiving public interest disclosures.

3. Who does this policy apply to?

3.1 This policy will apply to:

- Mayor and Councillors
- all employees of Uralla Shire Council whether full-time, part time, temporary or casual employees
- consultants
- individual contractors and their employees working for, or providing services to, Uralla Shire Council
- other people who perform Council official functions whose conduct and activities could be investigated by an investigating authority, including volunteers.

3.2 The policy also applies to public officials of another Council or public authority who report wrongdoing relating to Uralla Shire Council.

4. Roles and responsibilities

4.1 The role of Council staff and Councillors

4.1.1 Staff and Councillors play an important role in contributing to a workplace where known or suspected wrongdoing is reported and dealt with appropriately. All Council staff and Councillors are obliged to:

- report all known or suspected wrongdoing and support those who have made reports of wrongdoing
- if requested, assist those dealing with the report, including supplying information on request, cooperating with any investigation, and maintaining confidentiality

- treat any staff member or person dealing with a report of wrongdoing with courtesy and respect
- respect the rights of any person the subject of reports.

4.1.2 Staff and Councillors must not:

- make false or misleading reports of wrongdoing
- victimise or harass anyone who has made a report

4.1.3 Additionally, the behaviour of all Council staff and Councillors involved in the internal reporting process must adhere to Council's Code of Conduct. A breach of the Code could result in disciplinary action.

4.2 The role of Council

4.2.1 Council has a responsibility to establish and maintain a working environment that encourages staff and Councillors to report wrongdoing and supports them when they do. This includes keeping the identity of reporters confidential where practical and appropriate, and taking steps to protect reporters from reprisal and manage workplace conflict.

4.2.2 Council will assess all reports of wrongdoing it receives from staff and Councillors and deal with them in accordance with Council's policy. Once wrongdoing has been reported, Council takes 'ownership' of the matter. This means it is up to us to decide whether a report should be investigated, and if so, how it should be investigated and by whom. Council will deal with all reports of wrongdoing fairly and reasonably, and respect the rights of any person the subject of a report.

4.2.3 Council must report on its obligations under the PID Act and statistical information about public interest disclosures in our annual report and to the NSW Ombudsman every six months.

4.2.4 The policy assists Council to comply with the PID Act and deals with all reports of wrongdoing properly, all staff and Councillors with roles outlined below and elsewhere in this policy will receive training on their responsibilities.

5. Roles of key positions

5.1 General Manager

5.1.1 The General Manager has ultimate responsibility for maintaining the internal reporting system and workplace reporting culture, and ensuring Council complies with the PID Act. The General Manager can receive reports from staff and Councillors and has a responsibility to:

- assess reports received by or referred to them, to determine if the report should be treated as a public interest disclosure, and to decide how the report will be dealt with
- deal with reports made under the Council's Code of Conduct in accordance with the Council's adopted Code of Conduct procedures
- provide strategies to support reporters, protect reporters from reprisal and manage workplace conflict that may arise in relation to a report
- make decisions following any investigation or appoint an appropriate decision-maker

- take appropriate remedial action where wrongdoing is substantiated, or systemic problems are identified
- refer actual or suspected corrupt conduct to the Independent Commission Against Corruption (ICAC)
- refer any evidence of a reprisal offence under section 20 of the PID Act to the Commissioner of Police or the ICAC.

5.2 Disclosures Coordinator

5.2.1 The Disclosures Coordinator has a central role in Council's internal reporting system. The Disclosures Coordinator can receive and assess reports, and is the primary point of contact in Council for the reporter. The Disclosures Coordinator has a responsibility to:

- assess reports to determine if a report should be treated as a public interest disclosure, and to decide how each report will be dealt with (either under delegation or in consultation with the General Manager)
- deal with reports made under the Council's Code of Conduct in accordance with the Council's adopted Code of Conduct procedures
- coordinate Council's response to a report
- acknowledge reports and provide updates and feedback to the reporter in accordance with Council's policy and procedures.
- assess and record whether it is possible and appropriate to keep the reporter's identity confidential
- assess the risk of reprisal and workplace conflict related to or likely to arise out of a report, and develop strategies to manage any risk identified
- where required, provide or coordinate support to staff involved in the reporting or investigation process, including protecting the interests of any officer the subject of a report
- comply with the PID Act
- provide six-monthly reports to the NSW Ombudsman in accordance with section 6CA of the PID Act.

5.3 Disclosures Officers

5.3.1 Disclosures Officers are additional points of contact within the internal reporting system. They can provide advice about the system and the internal reporting policy, receive reports of wrongdoing and assist staff and Councillors to make reports.

5.3.2 Disclosures Officers have a responsibility to:

- document in writing any reports received verbally, and have the document signed and dated by the reporter
- make arrangements to assist reporters in making reports privately and discreetly when requested, away from the workplace if necessary
- discuss with the reporter any concerns they may have about reprisal or workplace conflict
- carry out preliminary assessment and record forwarding of the reports to the Disclosures Coordinator or General Manager for full assessment.

5.4 Mayor

5.4.1 The Mayor can receive reports from staff and Councillors about the General Manager. Where the Mayor receives such reports, the Mayor has a responsibility to:

- assess the reports to determine if they should be treated as a public interest disclosure, and to decide how they will be dealt with
- deal with reports made under the Council's Code of Conduct in accordance with the Council's adopted Code of Conduct procedures
- refer reports to an investigating authority, where appropriate
- liaise with the Disclosures Coordinator confirming there are strategies in place to support reporters, protect reporters from reprisal and manage workplace conflict that may arise in relation to a report
- refer actual or suspected corrupt conduct to the ICAC
- refer any evidence of a reprisal offence under section 20 of the PID Act to the Commissioner of Police or the ICAC.

5.5 Supervisors and line managers

5.5.1 Supervisors and line managers play an important role in managing the immediate workplace of those involved in or affected by the internal reporting process. Supervisors and line managers should be aware of the internal reporting policy and are responsible for creating a local work environment where staff are comfortable and confident about reporting wrongdoing. They have a responsibility to:

- encourage staff to report known or suspected wrongdoing within the organisation and support staff when they do
- identify reports made to them in the course of their work which could be public interest disclosures, and assist the staff member to make the report to an officer authorised to receive public interest disclosures under this policy
- implement local management strategies, in consultation with the Disclosures Coordinator, to minimise the risk of reprisal or workplace conflict in relation to a report
- notify the Disclosures Coordinator or General Manager immediately if they believe a staff member is being subjected to reprisal as a result of reporting wrongdoing, or in the case of suspected reprisal by the General Manager, notify the Mayor.

6. What should be reported?

6.1 Any suspected wrongdoing within the Council, or any observed activities or incidents believed to be wrong or contrary to Council policies, should be reported.

6.2 Reports about five categories of serious misconduct – corrupt conduct, maladministration, serious and substantial waste of public money, breach of the GIPA Act, and local government pecuniary interest contravention – which otherwise meet the criteria of a public interest disclosure, will be dealt with under the PID Act and according to this policy. See below for details about these types of conduct. More information about what can be reported under the PID Act can be found in the NSW Ombudsman's [Guideline B2: What should be reported?](#)

- 6.3 All other wrongdoing or suspected wrongdoing should be reported to a supervisor, to be dealt with in line with the relevant policies. This might include:
- harassment or unlawful discrimination
 - practices that endanger the health or safety of staff or the public.
- 6.4 Even if these reports are not dealt with as public interest disclosures, the Council recognises such reports may raise important issues. We will respond to all reports and make every attempt to protect the staff member making the report from reprisal.

7. Relevant Policies

Policy: Related Party Disclosures
Policy: Code of Conduct
Policy: Complaints Management
Policy: Provision of Information to and Interaction between Councillors and Staff
Policy: Equal Employment Opportunity

8. Corrupt conduct

- 8.1 Corrupt conduct is the dishonest or partial exercise of official functions by a public official.
- 8.2 The Independent Commission Against Corruption (ICAC) has defined as corrupt conduct as: *deliberate or intentional wrongdoing, not negligence or a mistake.*
- 8.3 While it can take many forms, corrupt conduct occurs when:
- a NSW public official improperly uses, or tries to improperly use, the knowledge, power or resources of his or her position for personal gain or the advantage of others
 - a NSW public official dishonestly exercises his or her official functions, or improperly exercises his or her official functions in a partial manner, breaches public trust or misuses information or material acquired during the course of his or her official functions
 - a Council official being influenced by a member of public to use their position in a way that is dishonest, biased or breaches public trust.
 - a member of the public engages in conduct that could involve one of the matters set out in section 8(2A) of the Independent Commission Against Corruption Act 1988 where such conduct impairs, or could impair, public confidence in public administration.

9. Maladministration

- 9.1 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.
- 9.2 For example, this could include:
- making a decision and/or taking action that is unlawful

- refusing to grant an approval for reasons that are not related to the merits of the application.

10. Serious and substantial waste of public money

10.1 Serious and substantial waste is the uneconomical, inefficient or ineffective use of resources that could result in losing or wasting public money.

10.2 For example, this could include:

- not following a competitive tendering process for a large scale contract
- having bad or no processes in place for a system involving large amounts of public funds.

11. Breach of the GIPA Act

11.1 A breach of the Government Information (Public Access) Act 2009 (GIPA Act) is a failure to properly fulfil functions under that Act.

11.2 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.

12. Local government pecuniary interest contravention

12.1 A local government pecuniary interest contravention is a failure to comply with requirements under the *Local Government Act 1993* relating to the management of pecuniary interests. These include obligations to lodge disclosure of interests returns, disclose pecuniary interests at Council and Council committee meetings and leave the meeting while the matter is being discussed. A pecuniary interest is an interest that a person has in a matter because of a reasonable likelihood or expectation of appreciable financial gain or loss to the person.

12.2 For example, this could include:

- a senior Council staff member recommending a family member for a Council contract and not declaring the relationship
- a Councillor participating in consideration of a DA for a property they or their family have an interest in.

13. Assessment of reports

13.1 All reports will be promptly and thoroughly assessed to determine what action will be taken to deal with the report and whether or not the report will be treated as a public interest disclosure.

13.2 The Disclosures Coordinator is responsible for assessing reports, in consultation with the General Manager where appropriate. All reports will be assessed on the information available to the Disclosures Coordinator at the time. It is up to the Disclosures Coordinator to decide whether an investigation should be carried out and how that investigation should be carried out. In assessing a

report the Disclosures Coordinator may decide that the report should be referred elsewhere or that no action should be taken on the report.

14. When will a report be treated as a public interest disclosure?

14.1 The Council will treat a report as a public interest disclosure if it meets the criteria of a public interest disclosure under the PID Act. These requirements are:

- the report must be about one of the following five categories of serious wrongdoing:
 - corrupt conduct,
 - maladministration,
 - serious and substantial waste of public money,
 - breach of the GIPA Act, or
 - local government pecuniary interest contravention
- 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 either the General Manager or, for reports about the General Manager the Mayor, a position nominated in this policy (see section 8), an investigating authority or in limited circumstances to an MP or journalist (see section 9).

14.2 Reports by staff are not public interest disclosures if they:

- mostly question the merits of government policy (see section 17)
- are made with the sole or substantial motive of avoiding dismissal or other disciplinary action (see section 18).

15. Who can receive a report within Council?

15.1 Staff are encouraged to report general wrongdoing to their supervisor. However, the PID Act requires that, for a report to be a public interest disclosure, it must be made to certain public officials identified in this policy or any supporting procedures.

15.2 The following positions are the only people within Council who are authorised to receive a public interest disclosure. Any supervisor who receives a report that they believe may be a public interest disclosure is obliged to assist the staff member to make the report to one of the positions listed below. The broader responsibilities of these positions are outlined under Roles and Responsibilities (section 4).

15.3 If your report involves a Councillor, you should make it to the General Manager. If your report relates to the General Manager, you should make it to the Mayor.

- **General Manager**
Kate Jessep
Uralla Shire Council | PO Box 106 Uralla NSW 2358
p 02 6778 6303
kjessep@uralla.nsw.gov.au | www.uralla.nsw.gov.au

- **Mayor (for reports about the General Manager only)**

Councillor Robert Bell
Telephone: 02 6775 2520
Mobile: 0434 244 744
Email: mayor@uralla.nsw.gov.au

- **Disclosures Coordinator**

The Disclosures Coordinator at Uralla Shire Council is the designated Public Officer.

Note that Clause 3.15 of the Procedures for the Administration of the Model Code of Conduct for Local Councils in NSW requires the Complaints Coordinator to be the Disclosures Coordinator.

- **Disclosures Officers**

Disclosures Officers at Uralla Shire Council are the Manager Human Resources and the Chief Financial Officer/Director Corporate Services.

Manager Human Resources

Felicity Stace
Uralla Shire Council | PO Box 106 Uralla NSW 2358
p 02 6778 6308
fstace@uralla.nsw.gov.au | www.uralla.nsw.gov.au

Chief Financial Officer/Director Corporate Services

Simon Paul
Uralla Shire Council | PO Box 106 Uralla NSW 2358
p 02 6778 6306
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16. Who can receive a report outside of Council?

16.1 Staff and Councillors are encouraged to report wrongdoing within Council, but internal reporting is not your only option. You can also make a public interest disclosure to:

- An investigating authority.
- A Member of Parliament or a journalist, but only in the limited circumstances outlined below.

16.2 Investigating authorities

16.2.1 The PID Act lists investigating authorities in NSW that staff and Councillors can report wrongdoing to and the type of wrongdoing each authority can deal with. In certain circumstances it may be preferable to make a report of wrongdoing to an investigating authority, for example a report about either the General Manager or the Mayor.

16.2.2 The relevant investigating authorities for Council are:

- the Independent Commission Against Corruption (ICAC) — for disclosures about corrupt conduct
- the Ombudsman — for disclosures about maladministration

- the Auditor-General — for disclosures about serious and substantial waste
- the Information Commissioner — for disclosures about a breach of the GIPA Act
- the Office of Local Government – for disclosures about local Councils

16.2.3 You should contact the relevant investigating 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.

16.2.4 You should be aware that the investigating authority may well discuss any such reports with Council. Council will make every effort to assist and cooperate with the investigating authority to ensure that the matter is dealt with appropriately and there is a satisfactory outcome. Council will also provide appropriate support and assistance to staff or Councillors who report wrongdoing to an investigating authority, if we are made aware that this has occurred.

16.3 Members of Parliament or journalists

16.3.1 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, including the Mayor for reports about the General Manager
- an investigating authority.

16.3.2 Also, Council or the investigating authority that received the initial 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.

16.3.3 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 (see section 19).

17. Other external reporting

17.1 Reporting wrongdoing to a person or authority that is not listed above, or making a report to an MP or journalist without following the steps outlined above, the reporter may not be protected under the PID Act. This may mean the reporter will be in breach of legal obligations or our Code of Conduct – by, for example, disclosing confidential information.

17.2 For more information about reporting wrongdoing outside 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.

18. How to make a report

- 18.1 Wrongdoing should be reported in writing or verbally. The reporter is encouraged to make a report in writing as this can help to avoid any confusion or misinterpretation. Council's Internal Reporting Form (UINT/19/3061) is also available for staff or Councillors to use to make a report.
- 18.2 If a report is made verbally, the person receiving the report will make a comprehensive record of the report and ask the person making the report to sign this record. The reporter should keep a copy of this record.

19. Can a report be anonymous?

- 19.1 This policy details the protections, support, feedback and outcome delivery strategies. However, there will be some situations where the reporter may wish to remain anonymous, and this will be respected where possible. Anonymous disclosure may not prevent the reporter from being identified by the subject of the report or other staff or councillors.
- 19.2 Making a report anonymously makes it difficult for Council to prevent any reprisal should others identify the complainant.

20. Feedback to staff who report wrongdoing

- 20.1 Staff and Councillors who report wrongdoing will be told what is happening in response to their report.

20.2 Acknowledgement

- 20.2.1 When you make a report, Council will contact you to confirm that your report has been received and to advise:
- the timeframe within which you will receive further updates
 - the name and contact details of the people who can tell you what is happening or handle any concerns you may have.
- 20.2.2 After a decision is made about how your report will be dealt with, Council will send you an acknowledgment letter, providing:
- information about the action that will be taken in response to your report
 - the likely timeframes for any investigation or other action
 - information about the internal and external resources or services available that you can access for support.
 - We will provide this information to you within ten working days from the date you make your report. We will also advise you if we decide to treat your report as a public interest disclosure and provide you with a copy of this policy at that time, as required by the PID Act.
- 20.2.3 Please note, if you make a report which meets the requirements of the PID Act but the report was made under a statutory or legal obligation or incidental to the performance of your day to day functions, you will not receive an acknowledgement letter or a copy of this policy.

20.3 Progress updates

- 20.3.1 While your report is being dealt with, such as by investigation or making other enquiries, you will be given:
- information about the progress of the investigation or other enquiries and reasons for any delay
 - advice of any decision by Council not to proceed with the matter
 - advice if your identity needs to be disclosed for the purposes of investigating the matter or making enquiries, and an opportunity to talk about this beforehand.

20.4 Feedback

- 20.4.1 Once the matter has been finalised 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 are likely to be called as a witness in any further matters, such as disciplinary or criminal proceedings.

21. Maintaining confidentiality

- 21.1 Council realises reporters may want their identity and the fact they have made a report to remain confidential. This can help to prevent any action being taken against them for reporting wrongdoing.
- 21.2 Where possible and appropriate we will take steps to keep your identity, and the fact you have reported wrongdoing, confidential. We will discuss with you whether it is possible to keep your identity confidential.
- 21.3 If confidentiality cannot be maintained, we will develop a plan to support and protect you from reprisal in consultation with you.
- 21.4 If you report wrongdoing, it is important that you only discuss your report with those responsible for dealing with it. This will include the Disclosures Coordinator and the General Manager, or in the case of a report about the General Manager, the Disclosures Coordinator and the Mayor. The fewer people who know about your report, before and after you make it, the more likely it will be that we can protect you from any reprisal.
- 21.5 Any staff or Councillors involved in the investigation or handling of a report, including witnesses, are also required to maintain confidentiality and not disclose information about the process or allegations to any person except for those people responsible for handling the report.

22. Managing the risk of reprisal and workplace conflict

- 22.1 When a staff member or Councillor reports wrongdoing, Council will undertake a thorough risk assessment to identify the risk to the reporter of detrimental action in reprisal for reporting, as well as indirect but related risks of workplace conflict or difficulties. The risk assessment will also identify strategies to deal with those risks and determine the level of protection and support that is appropriate.
- 22.2 Depending on the circumstances, Council may:

- relocate the reporter or the staff member who is the subject of the allegation within the current workplace
- transfer the reporter or the staff member who is the subject of the allegation to another position for which they are qualified
- grant the reporter or the staff member who is the subject of the allegation leave of absence during the investigation of the disclosure.

22.3 These courses of action are not punishment and will only be taken in consultation with the reporter.

23. Protection against reprisals

23.1 Council will not tolerate any reprisal against staff or Councillors who report wrongdoing or are believed to have reported wrongdoing.

23.2 The PID Act provides protection for staff and Councillors who have made a public interest disclosure by imposing penalties on anyone who takes detrimental action against another person substantially in reprisal for that person making a public interest disclosure. These penalties also apply to cases where a person takes detrimental action against another because they believe or suspect the other person has made or may have made a public interest disclosure, even if they did not.

23.3 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.

23.4 A person who is found to have committed a reprisal offence may face criminal penalties such as imprisonment and/or fines, and may be required to pay the victim damages for any loss suffered as a result of the detrimental action. Taking detrimental action in reprisal is also a breach of the Council's Code of Conduct which may result in disciplinary action. In the case of Councillors, such disciplinary action may be taken under the misconduct provisions of the Local Government Act 1993 and may include suspension or disqualification from civic office.

23.5 It is important for staff and Councillors to understand the nature and limitations of the protection provided by the PID Act. The PID Act protects reporters from detrimental action being taken against them because they have made, or are believed to have made, a public interest disclosure. It does not protect reporters from disciplinary or other management action where Council has reasonable grounds to take such action.

24. Responding to allegations of reprisal

24.1 If the reporter believes that detrimental action has been or is being taken against them or someone else in reprisal for reporting wrongdoing, the reporter should tell their supervisor, the Disclosures

Coordinator or the General Manager immediately. In the case of an allegation of reprisal by the General Manager, the reporter can alternatively report this to the Mayor.

- 24.2 All supervisors must notify the Disclosures Coordinator or the General Manager if they suspect that reprisal against a staff member is occurring or has occurred, or if any such allegations are made to them. In the case of an allegation of reprisal by the General Manager, the Mayor can alternatively be notified.
- 24.3 If Council becomes aware of or suspects that reprisal is being or has been taken against a person who has made a disclosure, Council will:
- assess the allegation of reprisal to decide whether the report should be treated as a public interest disclosure and whether the matter warrants investigation or if other action should be taken to resolve the issue
 - if the reprisal allegation warrants investigation, this will be conducted by a senior and experienced member of staff
 - if it is established that reprisal is occurring against someone who has made a report, take all steps possible to stop that activity and protect the reporter
 - take appropriate disciplinary action against anyone proven to have taken or threatened any action in reprisal for making a disclosure
 - refer any breach of Part 8 of the Council's Code of Conduct (reprisal action) by a Councillor or the General Manager to the Office of Local Government.
 - refer any evidence of an offence under section 20 of the PID Act to the ICAC or NSW Police Force.
- 24.4 If the reporter alleges reprisal, they will be kept informed of the progress and outcome of any investigation or other action taken in response to your allegation.
- 24.5 If the reporter has reported wrongdoing and are experiencing reprisal which they believe is not being dealt with effectively, contact the Office of Local Government, the Ombudsman or the ICAC (depending on the type of wrongdoing reported). Contact details for these investigating authorities are included at the end of this policy.

25. Protection against legal action

- 25.1 If the reporter makes a public interest disclosure in accordance with the PID Act, they will not be subject to any liability, and no action, claim or demand can be taken against you for having made the public interest disclosure. The reporter will not have breached any confidentiality or secrecy obligations and they will have the defence of absolute privilege in defamation.

26. Support for those reporting wrongdoing

- 26.1 Council will make sure that staff who have reported wrongdoing, regardless of whether their report is treated as a public interest disclosure, are provided with access to any professional support they may need as a result of the reporting process – such as stress management or counselling services.

26.2 Access to support may also be available for other staff involved in the internal reporting process where appropriate. Reporters and other staff involved in the process can discuss their support options with the Disclosures Coordinator.

26.3 Employees and Councillors may also contact Council's Employee Assistance Provider:
LifeWorks
1300 361 008

27. Sanctions for making false or misleading statements

27.1 It is important all staff and Councillors are aware that it is a criminal offence under the PID Act to wilfully make a false or misleading statement when reporting wrongdoing. Council will not support staff or Councillors who wilfully make false or misleading reports. Such conduct may also be a breach of the Code of Conduct resulting in disciplinary action. In the case of Councillors, disciplinary action may be taken under the misconduct provisions of the Local Government Act 1993 and may include suspension or disqualification from civic office.

28. The rights of persons the subject of a report

28.1 Council is committed to ensuring staff or Councillors who are the subject of a report of wrongdoing are treated fairly and reasonably. This includes keeping the identity of any person the subject of a report confidential, where this is practical and appropriate.

28.2 If you are the subject of the report, you will be advised of the allegations made against you at an appropriate time and before any adverse findings. At this time you will be:

- advised of the details of the allegation
- advised of your rights and obligations under the relevant related policies and procedures
- kept informed about the progress of any investigation
- given a reasonable opportunity to respond to any allegation made against you
- told the outcome of any investigation, including any decision made about whether or not further action will be taken against you.

28.3 Where the reported allegations against the subject officer are clearly wrong, or have been investigated and unsubstantiated, the subject officer will be supported by Council. The fact of the allegations and any investigation will be kept confidential unless otherwise agreed to by the subject officer.

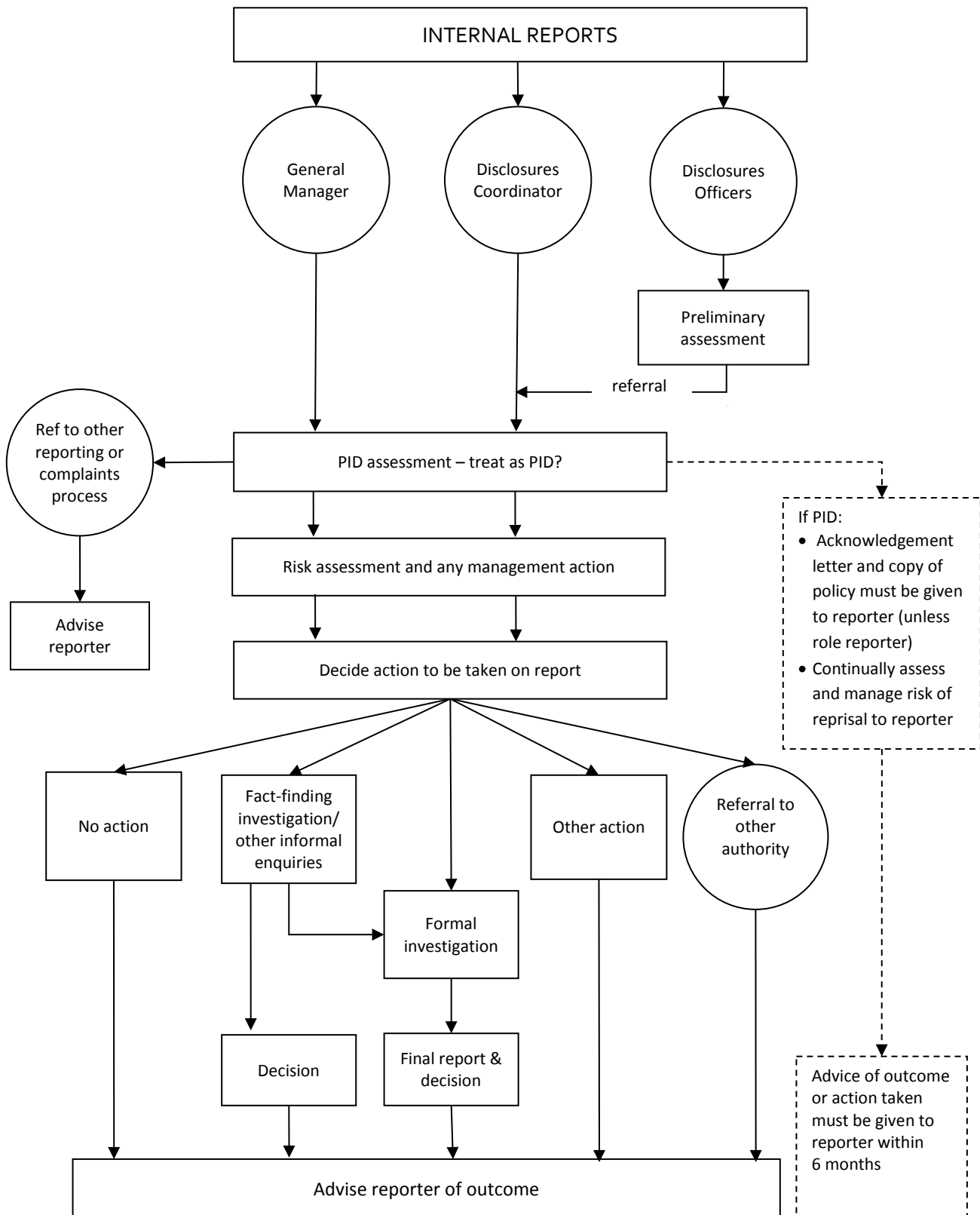
29. Review

29.1 This policy will be reviewed by Council every four years. For any advice or guidance about this review, contact the NSW Ombudsman's Public Interest Disclosures Unit.

30. More information

- 30.1 Staff can seek advice and guidance from the Disclosures Coordinator and the NSW Ombudsman's website at <https://www.ombo.nsw.gov.au/>.

31. Flow chart of internal reporting process



32. Resources

32.1 The contact details for external investigating authorities that staff can make a public interest 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
Web: www.icac.nsw.gov.au
Address: Level 7, 255 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
Web: www.ombo.nsw.gov.au
Address: Level 24, 580 George 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
Web: www.audit.nsw.gov.au
Address: Level 19, Darling Park Tower, 201 Sussex Street, Sydney NSW 2000

For disclosures about local Council s:

Office of Local Government
Phone: 02 4428 4100
Tel. typewriter (TTY): 02 4428 4209
Facsimile: 02 4428 4199
Email: olg@olg.nsw.gov.au
Web: www.olg.nsw.gov.au
Address: 5 O'Keefe Avenue, Nowra, NSW 2541

For disclosures about breaches of the GIPA Act:

Information & Privacy Commissioner
Toll free: 1800 472 679
Facsimile: 02 8114 3756
Email: ipcinfo@ipc.nsw.gov.au
Web: www.ipc.nsw.gov.au
Address: Level 17, 201 Elizabeth Street, Sydney NSW 2000