



Independent
Review Office

**IRO PUBLIC INTEREST
DISCLOSURE (PID)
POLICY**

December 2023

Contents

1	Purpose	5
2	Accessibility of this policy	5
3	Who does this policy apply to	5
4	Who does this policy not apply to	6
5	What is contained in this policy	6
6	How to make a report of serious wrongdoing	7
7	Protections	12
8	Reporting detrimental action.....	14
9	General support	14
10	Roles and responsibilities.....	14
11	How we will deal with voluntary PIDs	15
12	Review and dispute resolution.....	20
13	Other agency obligations.....	21
14	Relevant legislation and documents	21
15	Annexure A – List of integrity agencies	22

Document Data

Policy Owner	Independent Review Officer
Compliance required by	All staff, contractors
Approved by	IRO Executive
Date original created / last reviewed	December 2023
Next review due	December 2026
Drivers	<p><i>Public Interest Disclosures Act 1994/ Public Interest Disclosures Act 2022 commencing on 1 October 2023</i></p> <p><i>Part 2, Government Sector Employment Act 2013</i></p> <p>Code of Ethics and Conduct for NSW Government Sector Employees</p> <p>IRO Code of Ethics and Conduct</p>
Reference	<p>Department of Premier and Cabinet, <i>Code of Conduct – February 2022</i></p> <p>Public Service Commission, <i>The Code of Ethics and Conduct for NSW government sector employees</i></p> <p>Public Service Commission, <i>Behaving Ethically: A Guide for NSW government sector employees</i></p>
Related policies*	<p>DCS Public Interest Disclosure Policy</p> <p>DCS Positive and Productive Workplace Policy</p> <p>DCS Conflict of Interest Policy</p> <p>DCS Fraud and Corruption Internal Reporting Policy</p> <p>DCS Fraud and Corruption Control Policy</p> <p>DCS Gifts, Benefits and Bribes Policy</p> <p>*DCS policies are subject to change and will be reviewed for impact to the operation of this policy at the next review date</p>
Contact officer	Director, Strategy, Policy and Support

Revision History

Version	Date	Approved by	Amendment notes
1	Dec 2023	Exec	

1 - Purpose

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

This policy applies to the IRO and IRO's staff members.

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

This policy sets out:

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

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

1. protecting those who speak up from detrimental action.
2. imposing duties on agencies who receive reports of wrongdoing to take appropriate action to investigate or otherwise deal with them.

In NSW, that framework is the [PID Act](#).

2 - Accessibility of this policy

This policy is available on the IRO website and the IRO Knowledge Portal.

Staff have access to the policy via the IRO Knowledge Portal.

3 - Who does this policy apply to

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

1. a person employed in or by an agency or otherwise in the service of an agency
2. a person having public official functions or acting in a public official capacity whose conduct or activities an integrity agency is authorised by another Act or law to investigate
3. an individual in the service of the Crown
4. a statutory officer
5. a person providing services or exercising functions on behalf of an agency, including a contractor, subcontractor or volunteer
6. an employee, partner or officer of an entity that provides services, under contract, subcontract or other arrangement, on behalf of an agency or exercises functions of an agency, and are involved in providing those services or exercising those functions (for example, contractors working in corporate or other support roles)

7. a judicial officer
8. a Member of Parliament (MP), including a Minister
9. a person employed under the *Members of Parliament Staff Act 2013* (NSW).

The Independent Review Officer, other disclosure officers and managers within IRO have specific responsibilities under the PID Act. This policy also provides information on how people in these roles will fulfil their responsibilities.

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

4 - Who does this policy not apply to

This policy does not apply to:

- people who have received services from IRO and want to make a complaint about those services
- people, such as contractors, who provide services to IRO but do not exercise functions of the agency. For example, employees of a company that sold computer software to an agency and employees of contracted cleaning or security services.

This means that if you are not a public official, this policy does not apply to your complaint (there are some circumstances where a complaint can be deemed to be a voluntary PID, see the [Deeming that a report is a voluntary PID](#) section of this policy for more information).

However, you can still make a complaint to IRO. To make a complaint to IRO please refer to IRO's [Complaints and Compliments policy](#) or refer to the [IRO website](#) for further information.

5 - What is contained in this policy

This policy will provide you with information on the following:

1. the types of PIDs under the PID Act including voluntary, mandatory and witness PIDs, and what is not a PID
2. ways you can make a voluntary PID to IRO under the PID Act
3. the names and contact details for the disclosure officers in IRO
4. the roles and responsibilities of people who hold particular roles under the PID Act and who are employees of IRO
5. what information you will receive once you have made a voluntary PID
6. protections available to people who make a report of serious wrongdoing under the PID Act and what we will do to protect you
7. procedures for dealing with disclosures made to IRO
8. procedures for managing the risk of detrimental action and reporting detrimental action
9. record-keeping and reporting requirements
10. how IRO will ensure it complies with the PID Act and this policy.

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

1. confidentially contact a disclosure officer within IRO

2. contact the PID Advice Team within the NSW Ombudsman by phone: (02) 9286 1000 or email: pidadvice@ombo.nsw.gov.au
3. access the NSW Ombudsman's PID guidelines which are available on the [NSW Ombudsman's website](#).

6 - How to make a report of serious wrongdoing

6.1 - What is serious wrongdoing

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

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

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

6.2 - Reports, complaints and grievances

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

Some internal complaints or internal grievances may also be PIDs, if they have the features of a PID. If an internal complaint or grievance is a report of serious wrongdoing, we will consider whether it is a PID. If it is a PID, we will deal with it as set out in this policy, but we will also make sure we follow all relevant internal policies and procedures.

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

IRO is committed to addressing concerns raised by you regardless of if they are defined as a PID. All concerns will be taken seriously and detrimental action against you for raising a concern in good faith will not be tolerated.

6.3 - When will a report be a PID

There are three types of PIDs in the [PID Act](#) (see sections 21 to 24). These are:

1. **Voluntary PID:** This is a PID where a report of serious wrongdoing has been

made by the public official because they decided, of their own accord, to come forward and disclose what they know.

2. **Mandatory PID:** This is a PID where the public official has made a report about serious wrongdoing because they have a legal obligation to make that report, or because making that report is an ordinary aspect of their role or function in an agency.

3. **Witness PID:** This is a PID where a person discloses information during an investigation of serious wrongdoing following a request or requirement of the investigator.

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

You can find more information about mandatory and witness PIDs in the Ombudsman's guidelines 'Dealing with mandatory PIDs' and 'Dealing with witness PIDs' available on the NSW [Ombudsman's website](#).

Voluntary PIDs are the kind of PIDs most people have in mind when they think about public interest reporting and 'whistleblowing'.

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

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

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

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

If you report serious wrongdoing without any supporting information, you may be asked to provide further information. If you report anonymously and there is not enough information to investigate, we may not be able to investigate the report.

If we do not initially identify that your report was a voluntary PID, you will still be entitled to the protections under the PID Act from the time the report was first made.

If you make a report and believe we have made an error by not identifying that you have made a voluntary PID, you should raise this with a disclosure officer or person who advised you your matter will not be considered as a PID.

If you are still not satisfied with this outcome, you can seek an internal review, or we may seek to conciliate the matter. You may also contact the NSW Ombudsman. Further information on rights to internal review and conciliation is found in the [Review and Dispute Resolution](#) section of this policy.

6.4 - Who can make a voluntary PID

Any public official can make a voluntary PID — see the 'Who does this policy apply to' section of this policy for the definition of who is a public official.

A public official can make a PID about serious wrongdoing relating to any agency, not just the agency they are working for. This means that we may receive PIDs from public officials outside of DCS and IRO.

It also means that you can make a PID to any agency, including an integrity agency like the Independent Commission Against Corruption (ICAC) and the NSW Ombudsman. Annexure A of this policy has a list of integrity agencies.

6.5 - Who can I make a voluntary PID to

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

a) Making a report to a public official who works for IRO

You can make a report inside IRO to:

1. **The Independent Review Officer.**
2. **A disclosure Officer for IRO** – the disclosure officers for IRO are the Director Strategy, Policy & Support and the IRO. A list of disclosure officers and contact details can be found on the DCS intranet.
3. **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. If you have more than one manager, you may make the report to one manager. Your manager will make sure that the report is communicated to a disclosure officer on your behalf or may accompany you while you make the report to a disclosure officer.

b) Making a report to a public official outside of IRO

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

1. The head of another agency – this means the head of any public service agency.
2. An integrity agency – a list of integrity agencies is located at Annexure A of this policy.
3. A disclosure officer for another agency – ways to contact disclosure officers for other agencies are in an agency's PID policy which can be found on their public website.
4. A Minister or a member of a Minister's staff, but the report must be in writing.
5. The DCS Integrity Hotline – which can be contacted via –
 - Call 1800 718 509
 - Email DCSIntegrityHotline@coreintegrity.com.au
 - Write to DCS c/o Core Integrity, PO Box 895, Darlinghurst NSW 1300
 - Visit <https://qrs.ly/DCSIntegrityHotline>
 - Scan the QR Code using your phone's camera and fill in the form.



If you choose to make a disclosure outside of IRO, it is possible that your disclosure will be referred to IRO so that appropriate action can be taken. The disclosure would still be considered to be and treated as a PID.

c) Making a report to a Member of Parliament or journalist

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

1. You must have first made substantially the same disclosure (described here as a 'previous disclosure') to someone who can receive disclosures, and
2. The previous disclosure must be substantially true, and
3. You did not make the previous disclosure anonymously, and
4. You did not give a written waiver of your right to receive information relating to your previous disclosure, and
5. You did not receive the following from the agency to whom the previous disclosure was made
 - notification that the agency to whom the previous disclosure was made will not investigate the serious wrongdoing and will also not refer the previous disclosure to another agency, or
 - the following information at the end of the investigation period:
 - notice of the agency to whom the previous disclosure was made decision to investigate the serious wrongdoing
 - a description of the results of an investigation into the serious wrongdoing
 - details of proposed or recommended corrective action because of the previous disclosure or investigation.

Investigation period means:

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

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

6.6 - How can I make a voluntary PID

You can make a voluntary PID:

- In writing — this could be an email or letter to a person who can receive voluntary PIDs.
- Orally — have a private discussion with a person who can receive voluntary PIDs. This can be face-to-face, via telephone or virtually.
- Anonymously — write an email or letter or call a person who can receive PIDs to make a report without providing your name or anything that might identify you as the reporter of the report. A report will only be considered anonymous if there is no

reasonable or practical way of communicating with the person making the report. Even if you choose to remain anonymous, you will still be protected under the PID Act. It may be difficult, however, for IRO to investigate the matter(s) you have disclosed if we cannot contact you for further information.

- To an Integrity agency as listed in [Annexure A](#) of this policy.
- Integrity Hotline - which can be contacted via
 - Call 1800 718 509
 - Email DCSIntegrityHotline@coreintegrity.com.au
 - Write to DCS c/o Core Integrity, PO Box 895, Darlinghurst NSW 1300
 - Visit <https://qrs.ly/DCSIntegrityHotline>
 - Scan the QR Code using your phone's camera and fill in the form.



6.7 - What should I include in my PID report

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

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

6.8 - 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 IRO to understand what is or may be occurring.

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

6.9 - Deeming that a report is a voluntary PID

The Independent Review Officer or their delegates can, in certain circumstances, determine that a report is a voluntary PID even if the report does not otherwise have all the features of a voluntary PID. This is known as the 'deeming power'.

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

If you make a report that has not met all the requirements of a voluntary PID, you can refer your matter to the Independent Review Officer or their delegates, to request that they consider deeming your report to be a voluntary PID.

A decision to deem a report to be a voluntary PID is at the discretion of the Independent Review Officer or their delegates. For more information about the deeming powers see the NSW Ombudsman's guideline 'Deeming that a disclosure is a voluntary PID' on the [NSW Ombudsman's Office](#) website.

6.10 - Who can I talk to if I have questions or concerns

If you have any concerns or questions and wish to talk to someone, please contact the following:

- PID disclosure officers – as listed on the DCS Intranet
- The DCS Integrity Hotline – 1800 718 509
- NSW Ombudsman's Office – 1800 451 524

However, you can still make a complaint to IRO. To make a complaint to IRO please refer to IRO's [Complaints and Compliments policy](#) or refer to the [IRO website](#) for further information.

7 - Protections

7.1 - How is the reporter of a voluntary PID protected?

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

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

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

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

a) 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 and dismissal.
- Once we become aware that a voluntary PID by a person employed or otherwise associated with IRO that concerns serious wrongdoing relating to IRO has been made, IRO will undertake a risk assessment and take steps to mitigate the risk of detrimental action occurring against the person who made the voluntary PID.
- It is a criminal offence for someone to take detrimental action against a person because they have made or may make a voluntary PID. It is punishable by a maximum penalty of 200 penalty units or imprisonment for five years or both.
- A person may seek compensation where unlawful detrimental action has been taken against them.
- 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.

b) 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.

c) Confidentiality

Public officials and agencies must not disclose information tending to identify a person as the reporter of a voluntary PID unless doing so is permitted by the PID Act.

d) Protection from liability from own past conduct

The Attorney General can give the reporter 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.

7.2 - Protections for people who make mandatory and witness PIDs

Apart from PIDs that are made voluntarily by public officials, there are other types of reports that are recognised as PIDs under the PID Act.

A mandatory PID: This is a PID where the public official has made the report about serious wrongdoing because they have a legal obligation to make that report, or because making that report is an ordinary aspect of their role or function in an agency.

A witness PID: This is a PID where a person discloses information during an investigation of serious wrongdoing following a request or requirement of the investigator.

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

Protection	Mandatory PID	Witness PID
Detrimental action — It is an offence to take detrimental action against a person based on the suspicion, belief or awareness that a person has made, may have made or may make a PID.	✓	✓
Right to compensation — A person can initiate proceedings and seek compensation for injury, damage or loss suffered as a result of detrimental action being taken against them.	✓	✓
Ability to seek injunction — An injunction can be sought to prevent the commission or possible commission of a detrimental action offence against a person. For example, an order to prevent dismissal or to require reinstatement.	✓	✓

<p>Immunity from civil and criminal liability — a person will not incur civil or criminal liability if the person breaches a duty of confidentiality while making a disclosure. This means that legal action cannot be taken against a person for:</p> <ul style="list-style-type: none"> • breaching a duty of secrecy or confidentiality, or • breaching another restriction on disclosure. 	✓	✓
---	---	---

8 - 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 Independent Review Officer, a disclosure officer or to an integrity agency. A list of integrity agencies is located at [Annexure A](#) of this policy.

9 - General support

If you are a PID reporter your contact officer is the best person to contact, should you have any questions or concerns. Your contact officer will be recorded in the correspondence received confirming whether your matter is a PID report. The contact officer is tasked with keeping you up to date in relation to your PID.

Alternatively, you can contact the NSW Ombudsman if you have questions about the PID Act and reporting generally.

If you are member of a union or association such as the Public Service Association, they also may be able to provide assistance and advice.

For support independent to IRO and outside of PID inquiries, employees can access assistance and support via the Employee Assistance Provider, Benestar, by calling 1300 360 364.

10 - Roles and responsibilities

Certain people within IRO have responsibilities under the PID Act.

10.1 - The Independent Review Officer

The Independent Review Officer is responsible for:

- Fostering a workplace culture where reporting is encouraged
- Receiving disclosures from public officials
- Ensuring there is a system in place for assessing disclosures
- Ensuring the IRO complies with this policy and the PID Act
- Ensuring that the IRO 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.

10.2 - Disclosure officers

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 the appropriate complaint unit (if relevant)
- Ensuring that any oral reports that have been received are recorded in writing

10.3 - Managers

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.

10.4 - All public officials

All public officials 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 IRO
- Treat any person dealing with or investigating reports of serious wrongdoing with respect.

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

11 - How we will deal with voluntary PIDs

11.1 - How we will acknowledge that we have received a report and keep the person who made it informed

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

- You will receive an acknowledgement that the report has been received. This acknowledgement will:
 - State that the report will be assessed to identify whether it is a PID
 - State that the PID Act applies to how IRO deals with the report
 - Provide clear information on how you can access this PID policy
 - Provide you with details of a contact person and available supports.
- If the report is a voluntary PID, we will inform you as soon as possible how we intend to deal with the report. This may include:
 - That we are investigating the serious wrongdoing

- That we will refer the report to a different agency (if appropriate) to deal with the voluntary PID. If we do this, we will provide you with details of this referral
- If we decide to not investigate the report and to not refer it to another agency for it to be investigated, we will tell you about the reasons for this decision. We will also notify the NSW Ombudsman of this decision.
- 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.
 - If we investigate the serious wrongdoing, we will provide you with the following information once the investigation is complete:
 - a description of the results of the investigation — that is, we will tell you whether we found that serious wrongdoing took place.
 - information about any corrective action as a result of the investigation/s — this means we will tell you what action we took in relation to the person who engaged in the serious wrongdoing or if the serious wrongdoing was by our agency and what we have put in place to address that serious wrongdoing.
 - Corrective action could include taking disciplinary action against someone or changing the practices, policies and procedures that we have in place which led to the serious wrongdoing.
- There may be some details about both the findings made because 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, in many cases we may not be able to provide this information to you.

11.2 - How we will assess a voluntary PID

Once a report that may be a voluntary PID is received by a disclosure officer and forwarded to the Independent Review Officer or their delegate an assessment is undertaken to identify whether the report is a voluntary PID or another type of disclosure.

All PID assessments are strictly confidential, and the assessment is completed by IRO. If it is a voluntary PID, we will ensure that we comply with the requirements in the PID Act, if not other relevant policies will be complied with. You will be advised the result of the assessment.

a) Report not a voluntary PID

Even if the report is not a voluntary PID, it will still need to be dealt with in a manner consistent with our relevant policies and procedures or through an alternate process.

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

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

b) Cease dealing with the report as a voluntary PID

IRO may stop dealing with a voluntary PID because it is not actually a voluntary PID (meaning it does not have all the features of a PID as set out in the section of this policy 'When will a report be a PID?')

Your contact person or the investigator of the matter will provide you, the PID reporter, the reasons why IRO has ceased dealing with the report as a voluntary PID. They will also provide you with information regarding any other action which may be proposed. You may request a review of this decision (see the section below 'Review and dispute resolution').

Importantly, the determination to stop dealing with a voluntary PID as a voluntary PID matter does not mean the concerns raised will not be addressed and though not protected by the PID Act, IRO will not tolerate any detrimental action taken against you for raising concerns in good faith.

c) Where the report is a voluntary PID

If the report is a voluntary PID:

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

11.3 - How we will protect the confidentiality of the reporter of a voluntary PID

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

Under the PID Act, information tending to identify a person as the reporter 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 reporter of the voluntary PID because of their voluntary self-identification as the reporter

- When the public official or IRO 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 purpose 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 reporter 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 reporter of the report can be identified.

We will do this by:

- We will limit the number of people who are aware of the PID reporter's identity or information which could identify the reporter
- If we must disclose information that may identify the person reporting the PID we will still not disclose the actual identity of the reporter of the PID, unless the circumstances of the disclosure require us to do so
- We will ensure that any person who does know the identity of the reporter of the PID is aware of the importance of maintaining confidentiality
- We will ensure that only authorised persons have access to emails, files or other documentation that contain information about the identity of the reporter
- We will undertake a risk assessment to determine if anyone is aware of the reporter's identity and if those persons have a motive to cause detrimental action to be taken against the reporter or impede the progress of the investigation
- We will provide information to the reporter of the PID about the importance of maintaining confidentiality and advising them how best to protect their identity, for example, by telling them not to discuss their report with other staff.

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

- Advise the person whose identify may become known
- Update the risk assessment and risk management plan for the PID
- Implement strategies to minimise the risk of detrimental action
- Provide additional supports to the person who has made the PID as required

- Remind persons who become aware of the identifying information of the consequences for failing to maintain confidentiality and that engaging in detrimental action is a criminal offence and may also be a disciplinary matter
- On rare occasions such as criminal offences and/or public safety concerns, IRO may be required to reveal details of the PID reporter to an investigative agency. In these instances, the PID reporter will be advised this has occurred and if appropriate who the information was provided to.

11.4 - How we will assess and minimise the risk of detrimental action

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

IRO will assess and take steps to mitigate detrimental action from being taken against the reporter of a voluntary PID, the person whose conduct is the subject of a PID, investigators and witnesses.

IRO will take steps to assess and minimise the risk of detrimental action by:

- A risk assessment will be undertaken, and a risk management plan will be created (including reassessing the risk throughout the entirety of the matter)
- Details of the unit and role that will be responsible for undertaking a risk assessment will be recorded and provided
- Explain the approvals for risk assessment and the risk management plan, that is, rank and role of the person who has final approval
- Consult with the PID reporter to identify risks
- You will be provided a list of the protections offered in the risk management plan which will also outline what supports will be provided.

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

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

Detrimental action does not include:

- Lawful action taken by a person or body to investigate serious wrongdoing or other misconduct
- The lawful reporting or publication of a finding of serious wrongdoing or other misconduct
- The lawful making of adverse comment, resulting from investigative action
- The prosecution of a person for a criminal offence

- Reasonable management action taken by someone in relation to a person who made or may make a PID. For example, a reasonable appraisal of a PID reporter's work performance.

11.5 - How we will deal with allegations of a detrimental action offence

If IRO become(s) aware of an allegation that a detrimental action offence has occurred or may occur, IRO 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 Commissioner of Police and the ICAC or the Law Enforcement Conduct Commission (whichever is applicable)
- Notify the NSW Ombudsman about the allegation of a detrimental action offence being committed.

11.6 - What will we 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, IRO 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, or a caution or reprimand)
- Payment of compensation to people who have been affected by serious wrongdoing or other misconduct.

12 - Review and dispute resolution

12.1 - Internal review

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

- That IRO is not required to deal with the report as a voluntary PID
- To stop dealing with the report because IRO 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.

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

If you would like to make an application for an internal review, you must apply in writing within 28 days of being informed of IRO's decision. The application should state the

reasons why you consider IRO's decision should not have been made. You may also submit any other relevant material with your application.

12.2 - Internal review

If a dispute arises between IRO 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 IRO and the reporter of the report are willing to resolve the dispute.

13 - Other agency obligations

13.1 - Record-keeping requirements

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

13.2 - Reporting of voluntary PIDs and IRO annual return to the Ombudsman

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

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

13.3 - How IRO will ensure compliance with the PID Act and this policy

As part of the assessment process for matters alleging serious misconduct, IRO will consider if the matter falls within the PID Act regardless of whether the reporter/complainant has nominated the matter as a PID matter.

If the matter does fall within the PID Act it will be recorded as such, all relevant persons will be notified, and the matter will be managed in accordance with the Act.

A review of PID matters by the DCS Investigation and Corruption Prevention team in real time, as part of investigation best practice is undertaken to ensure all time frames and notifications are being met in accordance with the legislation.

All investigations in IRO are monitored by oversight and regular reporting to DCS by Internal Audit and Risk Committees to ensure compliance.

14 - Relevant legislation and documents

14.1 - Legislation

Independent Commission Against Corruption Act 1998 (NSW)

NSW Ombudsman Act 1974 (NSW)

Government Sector Employment Act 2013 (NSW)

14.2 - Documents

IRO Code of Ethics and Conduct

DCS Fraud and Corruption Control Policy

Public Service Commission Ethical Framework

IRO Public Interest Disclosure Policy

Annexure A – List of integrity agencies

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