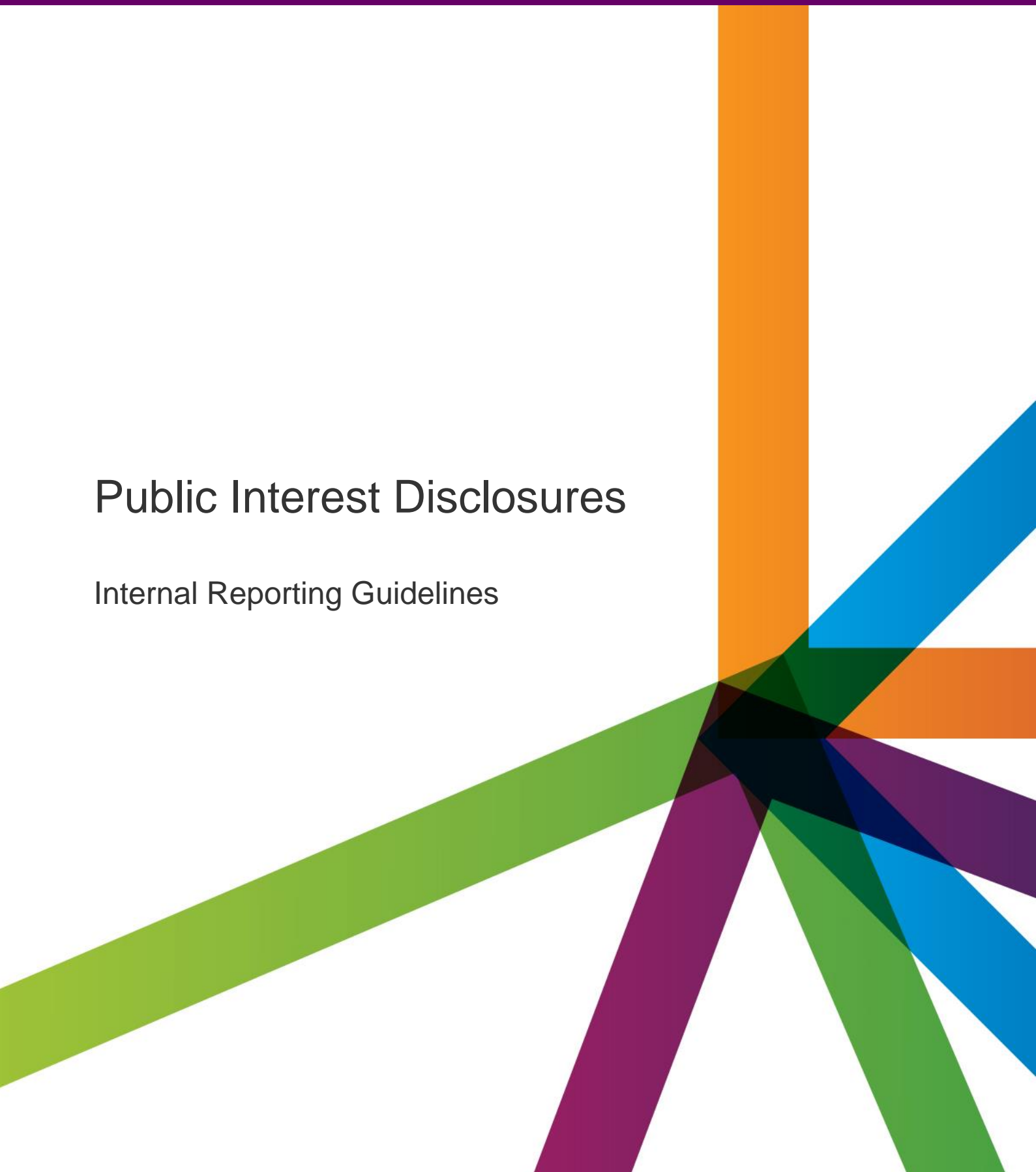


Illawarra Shoalhaven Joint Organisation Board Manual

Public Interest Disclosures

Internal Reporting Guidelines



1. Purpose and Context

The Illawarra Shoalhaven Joint Organisation (ISJO) is committed to providing an appropriate avenue for staff and other parties to make Public Interest Disclosures and to provide a safe working environment for any person who makes a Public Interest Disclosure.

The purpose of this policy is to facilitate an effective internal reporting system to enable the ISJO to acknowledge and act upon reports of *corruption, maladministration, serious and substantial waste, government information contravention and/or local government pecuniary interest contravention*. The following guidelines are to serve as the ISJO's internal system for the purpose of the Public Interest Disclosures Act 1994 (PID Act).

The Public Interest Disclosures Act 1994 aims to encourage and facilitate disclosures – in the public interest – by:

- enhancing and augmenting established procedures for making disclosures
- protecting persons from reprisals that might otherwise be inflicted on them because of these disclosures, and
- providing for those disclosures to be properly investigated and dealt with.

2. Roles and Responsibilities

This policy will apply to:

- both ISJO staff and representatives
- all permanent employees, whether full-time or part-time
- temporary or casual employees
- consultants
- individual contractors working for the ISJO.

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

3. What should be reported?

You should report any wrongdoing you see relating to the work of the ISJO. Reports about the five categories of serious wrongdoing – corrupt conduct, maladministration, serious and substantial waste of public money, government information contravention, and also local government pecuniary interest contravention – will be dealt with under the PID Act as public interest disclosures and according to this policy. For more information, see the [NSW Ombudsman's guidelines](#) on what can be reported.

(a) Corrupt conduct

Corrupt conduct is the dishonest or partial exercise of official functions by a public official. For example, this could include:

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

(b) Maladministration

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

- making a decision and/or taking action that is unlawful
- refusing to grant someone a licence for reasons that are not related to the merits of their application.

(c) Serious and substantial waste in local government

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

For example, this could include:

- poor project management practices leading to projects running over time
- having poor or no processes in place for a system involving large amounts of public funds.

(d) Government information contravention

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

For example, this could include:

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

(e) Local Government pecuniary interest contravention

A local government pecuniary interest contravention is a failure to fulfil certain functions under the *Local Government Act 1993* relating to the management of pecuniary interests. These include obligations to lodge disclosure of interests returns, lodge written declarations and disclose pecuniary interests at ISJO Board and committee meetings. 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.

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For example, this could include:

- a senior ISJO staff member recommending a family member for a ISJO contract and not declaring the relationship
- a Chief Executive holding an undisclosed shareholding in a company competing for an ISJO Regional contract

(f) Other wrongdoing

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

For example, these could include:

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

These types of issues should be reported to a supervisor, in line with the ISJO’s policies. Copies of the policies are available from the Chief Executive of the ISJO.

Even if these reports are not dealt with as public interest disclosures, the ISJO will investigate and consider each matter and make every attempt to protect the staff member making the report from any form of reprisal.

4. When will a report be protected?

The ISJO will support any staff who report wrongdoing. For a report to be considered a public interest disclosure, it has to meet all of the requirements under the PID Act. These requirements are:

- The person making the disclosure must honestly believe on reasonable grounds that the information shows or tends to show wrongdoing.
- The report has to be made to one or more of the following:
 - a position nominated in this policy – see section 8 below
 - the Chief Executive
 - one of the investigating authorities nominated in the PID Act – see section 9 below.

Reports by staff and councillor delegates will not be considered to be public interest disclosures if they:

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

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5. How to make a report

You can report wrongdoing in writing or verbally. You are encouraged to make a report in writing as this can help to avoid any confusion or misinterpretation. If a report is made verbally, the person receiving the report must make a comprehensive record of the disclosure and ask the person making the disclosure to sign this record. The staff member should keep a copy of this record. If you are concerned about being seen making a report, ask to meet in a discreet location away from the workplace.

6. Can a report be anonymous?

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

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

7. Maintaining confidentiality

The ISJO realises many staff will want their report to remain confidential. This can help to prevent any action being taken against you for reporting wrongdoing. We are committed to keeping your identity, and the fact you have reported wrongdoing, confidential. **However there may be situations where this may not be possible or appropriate.** We will discuss with you whether it is possible to keep your report confidential.

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

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

8. Who can receive a report within the ISJO?

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

Any supervisor who receives a report that they believe may be a public interest disclosure must refer the staff member making the report to one of the positions listed below. The broader responsibilities of these positions are outlined below.

If you are ISJO staff and your report involves a councillor delegate, you should make it to the Chief Executive or the ISJO Chairperson. If you are a councillor delegate and your report is about another councillor delegate, you should make it to the Chief Executive or the ISJO Chairperson.

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The following list provides:

- (a) for internal disclosures, a list of ISJO representatives to whom a Public Interest Disclosure can be made and
- (b) for External disclosures, a list of bodies to whom a Public Interest Disclosure can be made.

The following positions are the only staff within the ISJO who can receive a public interest disclosure.

(a) Chief Executive

You can report wrongdoing directly to the Chief Executive. The Chief Executive is responsible for:

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

The Chief Executive must make sure there are systems in place in the ISJO to support and protect staff who report wrongdoing. The Chief Executive is also responsible for referring actual or suspected corrupt conduct to the Independent Commission Against Corruption. The Chief Executive can be contacted via the ISJO office or by email at CEO@isjo.nsw.gov.au

(b) Chairperson

If you are making a report about the Chief Executive, you should make your report to the ISJO Chairperson. They are responsible for:

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

The Chairperson must make sure there are systems in place in the ISJO to support and protect staff who report wrongdoing. If the report is about the Chief Executive, the Chairperson is also responsible for referring actual or suspected corrupt conduct to the Independent Commission Against Corruption. The Chairperson may be contacted via the ISJO office.

(c) Disclosures Coordinator

The Disclosures Coordinator for the ISJO is appointed by the Chief Executive.

The Disclosures Coordinator may be contacted on info@isjo.nsw.gov.au

9. Who can receive a report outside of the ISJO?

Staff are encouraged to report wrongdoing within the ISJO, but internal reporting is not the only option. If you follow the guidance below, your report can still be a public interest disclosure.

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You can choose to make your report to an investigating authority. You can do this first, or at any stage after your initial report to the ISJO. If your report is about the Chief Executive or the Chairperson, you should consider making it to an investigating authority.

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

(a) Investigating authorities

The [Public Interest Disclosures Act 1994](#) lists a number of investigating authorities in NSW that staff can report wrongdoing to and the categories of wrongdoing each authority can deal with.

In relation to council, these authorities are:

- the Independent Commission Against Corruption (ICAC) — for corrupt conduct
- the Ombudsman — for maladministration
- the Office of Local Government — for disclosures about local government agencies
- the Information Commissioner — for disclosures about a government information contravention.

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

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

(b) Members of Parliament or journalists

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

- the Chief Executive
- a person nominated in this policy
- an investigating authority in accordance with the PID Act.

Also, the ISJO or investigating authority that received the report must have either:

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

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

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substantially true and that it is in fact substantially true.

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

For more information about reporting wrongdoing outside the ISJO contact the disclosures coordinator or the NSW Ombudsman’s Public Interest Disclosures Unit. Their contact details are provided at the end of this policy.

10. Feedback to staff who report wrongdoing

Staff who report wrongdoing will be told what is happening in response to their report. When you make a report, you will be given:

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

The PID Act requires that you are provided with an acknowledgement letter and a copy of this policy within 45 days after you have made your report. We will attempt to get this information to you within seven working days from the date you make your report.

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

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

This information will be given to you within 10 working days from the date you make your report. During any investigation, you will be given:

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

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

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

11. Protection against reprisals

The PID Act provides protection for people reporting wrongdoing by imposing penalties on anyone who

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takes detrimental action substantially in reprisal for them making the public interest disclosure.

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

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

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

(a) Responding to reprisals

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

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

All supervisors must report any suspicions they have that reprisal action against a staff member is occurring, or any reports that are made to them, to the disclosures coordinator or the Chief Executive.

If the disclosures coordinator becomes aware of reprisal action against a person who has made a disclosure, they will:

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

If you report reprisal action, you will be kept informed of the progress of any investigation and the outcome. The Chief Executive may issue specific directions to help protect against reprisals. These may include:

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- issuing warnings to those alleged to have taken reprisal action against the member of staff who made the disclosure
- relocating the member of staff who made the disclosure or the subject officer within the current workplace
- transferring the member of staff who made the disclosure or the staff member who is the subject of the allegation to another position for which they are qualified
- granting the member of staff who made the disclosure or the subject officer leave of absence during the investigation of the disclosure.

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

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

(b) Protection against legal action

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

12. Support for those reporting wrongdoing

The ISJO will make sure that staff who have reported wrongdoing, regardless of whether they have made 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, counselling services, legal or career advice.

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

All supervisors must notify the disclosures coordinator if they believe a staff member is suffering any detrimental action as a result of disclosing wrongdoing.

13. Sanctions for making false or misleading disclosures

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

14. Support for the subject of a report

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

- treated fairly and impartially

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

15. Review

This policy will be reviewed by the ISJO on a regular basis.

For any advice or guidance about this review, contact the NSW Ombudsman’s Public Interest Disclosures Unit.

16. More information

More information around public interest disclosures is available from the NSW Ombudsman's website at www.ombo.nsw.gov.au

Legislation / References

[Public Interest Disclosures Act 1994](#)

[Code of Conduct of the Illawarra Shoalhaven Joint Organisation](#)

[ISJO Fraud and Corruption Prevention Plan](#)

[Government Information \(Public Access\) Act 2009](#)

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