



Public Interest Disclosure (NSW)

Guideline

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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 (PID Act)*.

At the NHVR we take reports of serious wrongdoing seriously. We are committed to building a 'speak up' culture where public officials are encouraged to report any conduct that they reasonably believe involves wrongdoing.

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

This guideline supports the NHVR's PID Policy, with this guideline setting out:

- how the NHVR 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 guideline 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:

- protecting those who speak up from detrimental action
- 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*.

This policy should be read in conjunction with the NHVR's [Public Interest Disclosures Policy](#), [Code of Conduct Policy](#), [Conflict of Interest Policy](#), [Customer Complaints Management Policy](#), [Fraud and Corrupt Conduct Policy](#), [Whistle-Blower Hotline Quick Guide](#), [Discipline and Performance Management Policy](#), [Managing Disciplinary and Performance Matters Work Procedure](#) and [Managing Grievances Work Procedure](#).

Accessibility of the NHVR's PID Policy and this guideline

The NHVR's PID Policy and this guideline are available on the NHVR's publicly available website as well as on our intranet.

A hard copy of the policy can be requested from the NHVR Legal Services team.

Who does the NHVR's PID Policy and this guideline apply to?

The NHVR's PID Policy and this guideline apply to, and for the benefit of, all public officials in NSW. You are a public official if you are:

- a person employed in or by an agency or otherwise in the service of an agency
- 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
- an individual in the service of the Crown
- a statutory officer
- a person providing services or exercising functions on behalf of an agency, including a contractor, subcontractor or volunteer
- 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
- a judicial officer
- a Member of Parliament (**MP**), including a Minister
- a person employed under the *Members of Parliament Staff Act 2013*.

The Chief Executive Officer (CEO), other nominated disclosure officers and managers within the NHVR have specific responsibilities under the PID Act. The PID Policy and this guideline also provide 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 the NHVR may use this policy if they want information on who they can report wrongdoing to within the NHVR.

Who does the PID Policy and guideline not apply to?

The PID Policy and this guideline do not apply to:

- people who have received services from an agency and want to make a complaint about those services
- people, such as contractors, who provide services to an agency. For example, employees of a company that sold computer software to an agency.

This means that if you are not a public official, the NHVR's PID Policy and this guideline do not apply to your complaint (there are some circumstances where a complaint can be deemed to be a voluntary PID, see section 1(i) ('Deeming that a report is a voluntary PID) of this policy for more information).

However, you can still make a complaint to us. This can be done by following the process set out in the NHVR's [Customer Complaints Management Policy](#) which is available on our website.

The NHVR's PID Policy and this guideline do not cover personal work-related grievances. If you are an NHVR staff member and wish to raise a personal work-related grievance, the process for doing so is set out in the NHVR's [Managing Grievances Work Procedure](#).

Compliance with the PID Act

This document will be reviewed annually to ensure its compliance with the *PID Act*.

The PID Coordinator will monitor this document and consider whether it is meeting its purpose, and undertake an annual review of the document. Any amendments will be via necessary approvals within the NHVR.

If an error or issue is found in the PID Policy or this guideline, please contact the PID Coordinator at PID@nhvr.gov.au.

What is contained in this guideline?

This guideline will provide you with information on the following:

- ways you can make a voluntary PID to the NHVR under the *PID Act*
- the names and contact details for the nominated disclosure officers in the NHVR
- the roles and responsibilities of people who hold particular roles under the *PID Act* and who are employees of the NHVR
- what information you will receive once you have made a voluntary PID
- protections available to people who make a report of serious wrongdoing under the *PID Act* and what we will do to protect you
- NHVR procedures for dealing with disclosures
- NHVR procedures for managing the risk of detrimental action and reporting detrimental action
- NHVR record-keeping and reporting requirements
- how the NHVR will ensure it complies with the *PID Act* and this guideline.

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

- confidentially contact a nominated disclosure officer within the NHVR
- contact the PID Advice Team within the NSW Ombudsman by phone: (02) 9286 1000 or email: pidadvice@ombo.nsw.gov.au
- or
- access the NSW Ombudsman's PID guidelines which are available on its website.

If you require legal advice with respect to the *PID Act* or your obligations under the *PID Act*, you may need to seek independent legal advice.

1 How to make a report of serious wrongdoing?

(a) Reports, complaints and grievances

When a public official reports suspected or possible wrongdoing in the public sector, 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, as long as 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 guideline, but we will also make sure we follow our [Managing Grievances Work Procedure](#).

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 have to make on how we will deal with the PID and how we will protect and support the person who has made the report.

(b) When will a report be a PID?

There are three types of PIDs in the *PID Act*. These are:

1. *Voluntary PID*: This is a PID where a report 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.

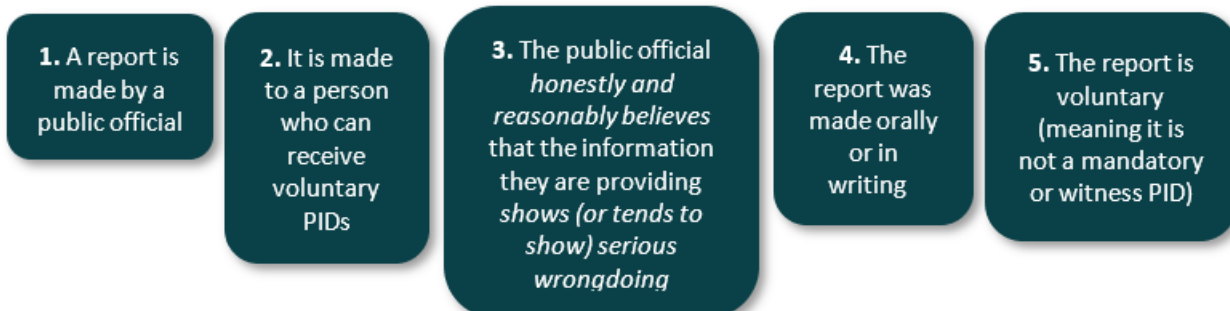
This guideline mostly relates to making a voluntary PID and how we will deal with voluntary PIDs. People who make a mandatory PID or a witness PID are still entitled to protection. More information about protections is available in section 2 of this guideline.

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

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*:



If the report has all five features, it is a voluntary PID.

You will not be expected to prove that what you reported actually 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.

Even though you do not have to prove the serious wrongdoing happened or provide evidence, a mere allegation with no supporting information is unlikely to meet this test.

If we make an error and do not identify that you have made a voluntary PID, you will still be entitled to the protections under the *PID Act*.

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 nominated disclosure officer or your contact officer for the report. 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 section 7 of this guideline.

(c) Who can make a voluntary PID?

Any public official can make a voluntary PID — see ‘Who the PID Policy and this guideline apply to’. You are a public official if:

- you are employed by the NHVR
- you are a contractor, subcontractor or volunteer who provides services, or exercises functions, on behalf of the NHVR or
- you work for an entity (such as a non-government organisation) who is contracted by the NHVR to provide services or exercise functions on behalf of the NHVR — if you are involved in undertaking that contracted work.

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 our agency. 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 B of this guideline has a list of integrity agencies.

(d) 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 to the NHVR what category of serious wrongdoing you are reporting or that you are reporting serious wrongdoing.

(e) Who can I make a voluntary PID to?

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

Making a report to a public official who works for the NHVR

You can make a report inside the NHVR to:

- the CEO
- a disclosure officer for the NHVR — a list of disclosure officers for the NHVR and their contact details can be found at Annexure A of this guideline

- 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. You may have more than 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.

Making a report to a recipient outside of the NHVR

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:

- the *head of another agency* — this means the head of any public service agency
- an *integrity agency* — a list of integrity agencies is located at Annexure B of this guideline
- a *disclosure officer for another agency* — ways to contact disclosure officers for other agencies is located in an agency's PID policy which can be found on their public website
- a *Minister or a member of a Minister's staff* but the report *must be made in writing*.

If you choose to make a disclosure outside of the NHVR, it is possible that your disclosure will be referred back to us so that appropriate action can be taken.

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:

- You must have first made substantially the same disclosure (described here as a 'previous disclosure') to someone who can receive disclosures.
- The previous disclosure must be substantially true.
- You did not make the previous disclosure anonymously.
- You did not give a written waiver of your right to receive information relating to your previous disclosure.
- You did not receive the following from the NHVR:
 - notification that the NHVR 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 NHVR's 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 as a result 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.

(f) What form should a voluntary PID take?

You can make a voluntary PID:

- *by telephone, email or post to the NHVR PID Coordinator through the NHVR's 'Whistle-Blower Hotline'* – you can choose to remain anonymous, and is by:
 - phoning the Hotline on (07) 3309 8889 to speak with the PID Coordinator any business day between 9am and 4pm (or voicemail on weekends or after business hours)
 - emailing the PID Coordinator at PID@nhvr.gov.au
 - sending by post to the PID Coordinator, National Heavy Vehicle Regulator, GPO Box 492, Fortitude Valley, QLD 4006

- *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 maker 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 the NHVR to investigate the matter(s) you have disclosed if we cannot contact you for further information.

(g) What should I include in my 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.

(h) 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 us 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.

(i) Deeming that a report is a voluntary PID

The CEO or their delegate 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 CEO or their delegate 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 CEO or their delegate. For more information about the deeming power, see the Ombudsman's guideline '[Deeming that a disclosure is a voluntary PID](#)'.

(j) Who can I talk to if I have questions or concerns?

If you have any questions or concerns you can contact:

- *the NHVR PID Coordinator through the NHVR's 'Whistle-Blower Hotline'* — you can choose to do this on a confidential basis and remain anonymous by:
 - phoning the Hotline on (07) 3309 8889 to speak with the PID Coordinator any business day between 9am and 4pm (or voicemail on weekends or after business hours)
 - emailing the PID Coordinator at PID@nhvr.gov.au
 - sending by post to the PID Coordinator, National Heavy Vehicle Regulator, GPO Box 492, Fortitude Valley, QLD 4006

or

- the Director or Manager or People Safety and Culture (**PS&C**) (you can choose to do this on a confidential basis and remain anonymous)
- or
- any PID support officer assigned to you by the Director or Manager of PS&C or the PID Coordinator.

2 Protections

(a) How is the maker 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 as a result 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 maker of a voluntary PID is protected in the following ways:

- Protection from detrimental action:
 - A person cannot take detrimental action against another person because they have made a voluntary PID or are considering making a PID. Detrimental action includes bullying, harassment, intimidation or dismissal.
 - Once we become aware that a voluntary PID by a person employed or otherwise associated with the NHVR that concerns serious wrongdoing relating to the NHVR has been made, the NHVR 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: A person who makes a PID can still be subject to reasonable management action (such as ordinary performance reviews and performance management). Provided such action is not taken because of the PID, it is not detrimental action under the *PID Act*.

- Immunity from civil and criminal liability:
 - Some public officials are often subject to a duty of confidentiality that prevents them disclosing certain information that they obtain or become aware of at work. Sometimes, in order to make a PID, public officials will need to breach or disregard such confidentiality duties. If that happens, a public official cannot be disciplined, sued or criminally charged for breaching confidentiality.
- Confidentiality:
 - Public officials and agencies must not disclose information tending to identify a person as the maker of a voluntary PID unless doing so is permitted by the *PID Act*.
- Protection from liability for own past conduct:
 - The Attorney General can give the maker an undertaking that a disclosure of their own past conduct will not be used against them if a person discloses their own wrongdoing or misconduct while making a report. This undertaking can only be given on application by an integrity agency to the Attorney General.

(b) 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 makers 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.	✓	✓
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: <ul style="list-style-type: none"> • breaching a duty of secrecy or confidentiality, or • breaching another restriction on disclosure. 	✓	✓

3 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 NHVR, or to an integrity agency. A list of integrity agencies is located at Annexure B of this guideline.

4 General support

The NHVR recognises that providing appropriate support to people who make PIDs is an important feature of effective PID management.

If you report a PID to the NHVR, we will undertake an assessment to identify your support needs. Where appropriate, a PID support officer will be assigned to you. The PID support officer will assist you to access information about PIDs, protections available under the *PID Act* and the PID management process. The PID support officer's responsibilities include:

- provides advice and information to the discloser on the NHVR's PID procedure
- provides personal support and referral to other sources of advice or support as required
- facilitates updates on progress of investigation
- proactively contacts the discloser throughout PID management process.

Information and support will be provided to you until the matter is finalised.

If you are an NHVR employee, you and your family can access free and confidential mental health support via the Employee Assistance Program (EAP). Details for the EAP are on our [intranet](#).

Making a PID does not prevent reasonable management action undertaken in a reasonable way as part of the ordinary course of an individual's employment. That means that the person who reports a PID will continue to be managed in accordance with normal, fair and reasonable management practices during and after the handling of the PID.

The NHVR may also provide appropriate support to the subject of the complaint.

5 Roles and responsibilities of NHVR employees

Certain people within the NHVR have responsibilities under the *PID Act*.

(a) Chief Executive Officer (CEO)

The CEO 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 NHVR complies with this policy and the *PID Act*
- ensuring that the NHVR has appropriate systems for:
 - overseeing internal compliance with the *PID Act*
 - supporting public officials who make voluntary PIDs, including by minimising the risk of detrimental action
 - implementing corrective action if serious wrongdoing is found to have occurred
 - complying with reporting obligations regarding allegations or findings of detrimental action
 - complying with yearly reporting obligations to the NSW Ombudsman.

(b) Disclosure Officers

Disclosure officers (listed in Annexure A of this document) 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 PID Coordinator
- ensuring that any oral reports that have been received are recorded in writing.

(c) 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.

(d) All employees

All employees must:

- report suspected serious wrongdoing or other misconduct
- use their best endeavours to assist in an investigation of serious wrongdoing if asked to do so by a person dealing with a voluntary PID on behalf of the NHVR
- treat any person dealing with or investigating reports of serious wrongdoing with respect.

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

6 How we will deal with voluntary PIDs

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

When a disclosure officer in the NHVR 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 acknowledgment 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 the NHVR 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:¹
 - 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 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, 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 as a result of the investigation and the corrective action taken that cannot be revealed to you. We will always balance the right of a person who makes a report to know the outcome of that report, with other legal obligations we have.
- If you have made an anonymous report, in many cases we may not be able to provide this information to you.

(b) How NHVR will deal with voluntary PIDs

Once a report that may be a voluntary PID is received, the NHVR will look at the information contained in the report to see if it has the features of a voluntary PID. This assessment is undertaken to identify whether the report is a voluntary PID or another type of disclosure, and to make sure that the right steps are followed. If it is a voluntary PID, we will ensure that we comply with the requirements in the *PID Act*.

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 [Managing Grievances Work Procedure](#) or through an alternate process.

¹ In deciding how to deal with the report, the PID Coordinator may consult or engage with those persons to whom the PID Coordinator considers it necessary, e.g., the Director, Legal Services, the Director, People, Safety, and Culture, etc.

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 a disclosure officer, request an internal review or request that the matter be conciliated. The NHVR can, but does not have to, request the NSW Ombudsman to conciliate the matter.

Case dealing with report as voluntary PID

The NHVR 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).

Where the report is a voluntary PID

If the report is a voluntary PID:

- In most cases we will conduct an investigation 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.
- 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*.
- 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.

(c) How NHVR will protect the confidentiality of the maker 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 maker of a voluntary PID (known as identifying information) is not to be disclosed by a public official or an agency.

There are certain circumstances under the *PID Act* that allow for the disclosure of identifying information. These include:

- where the person consents in writing to the disclosure
- where it is generally known that the person is the maker of the voluntary PID because of their voluntary self-identification as the maker
- when the public official or we reasonably considers it necessary to disclose the information to protect a person from detriment
- where it is necessary the information be disclosed to a person whose interests are affected by the disclosure
- where the information has previously been lawfully published
- when the information is disclosed to a medical practitioner or psychologist for the purposes of providing medical or psychiatric care, treatment or counselling to the individual disclosing the information
- when the information is disclosed for the purposes of proceedings before a court or tribunal
- when the disclosure of the information is necessary to deal with the disclosure effectively
- if it is otherwise in the public interest to disclose the identifying information.

We will not disclose identifying information unless it is necessary and authorised under the *PID Act*.

We will put in place steps to keep the identifying information of the maker and the fact that a report has been made confidential. It may not be possible for us to maintain complete confidentiality while we progress the investigation, but we will do all that we practically can to not unnecessarily disclose information from which the maker of the report can be identified. We will do this by:

- We will limit the number of people who are aware of the maker's identity or information that could identify them.

- If we must disclose information that may identify the maker of the PID, we will still not disclose the actual identity of the maker of the PID, unless we have their consent to do so.
- We will ensure that any person who does know the identity of the maker of a PID is reminded that they have a legal obligation to keep their identity confidential.
- We will ensure that only authorised persons have access to emails, files or other documentation that contain information about the identity of the maker.
- We will store information about appropriate disclosures securely and will handle such information with reasonable care.
- We will undertake an assessment to determine if anyone is aware of the maker's identity and if those persons have a motive to cause detrimental action to be taken against the maker or impede the progress of the investigation.
- We will provide information to the maker 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, we will:

- advise the person whose identity may become known
- update the agency's risk assessment and risk management plan
- implement strategies to minimise the risk of detrimental action
- provide additional supports to the person who has made the PID
- 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.

(d) How NHVR will assess and minimize the risk of detrimental action

The NHVR 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.

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

The NHVR will take steps to assess and minimise the risk of detrimental action by undertaking a risk assessment and creating a risk management plan.

The PID Coordinator will, as soon as possible after receipt of the disclosure, conduct a risk assessment to assess the likelihood of detrimental action being taken against the discloser as a result of having made the disclosure.²

A risk management plan may be developed, depending on the level of risk, in consultation with the discloser (where their identity is known), the Director, People, Safety, and Culture, and any other individual as identified by the PID Coordinator. The risk management plan will be reviewed and amended if required until such time as the PID is finalised.

Whether or not a management plan has been developed, the PID Coordinator must, in consultation with the Director, People, Safety, and Culture, so far as reasonably practicable, manage any allegations of detrimental action or suspected detrimental action taken against the discloser.

When conducting the risk assessment and considering appropriate measures to manage the risk of detrimental action being taken against the discloser, the PID Coordinator will have regard to the principles in the Public Interest Disclosure Risk Assessment and Risk Management Guide published by the Queensland Ombudsman.

If the discloser is concerned or suspects that they may have been or will be the subject of detrimental action on the grounds of having made, or being about to make, a PID, they are encouraged to report that suspicion by either:

- raising the concern or suspicion with the PID Coordinator
- contacting an investigating authority, such as the Office of the NSW Ombudsman (for instance, if the concern or suspicion relates to the PID Coordinator).

Protections that may be provided include remote working or approved leave for the duration of the investigation. Supports will be open for the PID discloser's use, including those set out at section 4 above.

² The PID Coordinator may consult or engage with the Director, Legal Services, and the Director, People, Safety, and Culture (or their respective nominees) in relation to the risk assessment.

The PID Coordinator has final approval of the risk assessment and risk management plan.

The NHVR will communicate in writing or by telephone or in person (as appropriate) with the maker of the PID to identify risks.

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 maker's work performance.

(e) How NHVR will deal with allegations of a detrimental action offence

If the NHVR become(s) aware of an allegation that a detrimental action offence has occurred or may occur, the NHVR 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.

The PID Coordinator is responsible for making referrals about alleged detrimental action offences. Alleged victims of detrimental action should speak to the PID Coordinator about those allegations.

The alleged victim of detrimental action will be provided with support, including by an assigned PID support officer. Supports may include information about process, access to the EAP, remote working, changed reporting lines (if appropriate in the circumstances) or approved leave (again, if appropriate in the circumstances). The PID Coordinator will provide the alleged victim with updates on the status of the detrimental action allegation at least monthly.

(f) What NHVR will do if an investigation finds that serious wrongdoing has occurred

After an investigation is concluded, the findings will be shared with a limited number of senior staff or external advisors (as necessary), who will be set out in the Terms of Reference or Investigation Plan. The identity of those people will vary case-by-case, depending on a number of factors including the complexity of the investigation and whether and which staff were witnesses in the investigation.

Following the investigation, if any recommendations are made within the findings, steps will be taken by PS&C (or another business unit or staff member, if appropriate) to address those recommendations. For example, implementing recommended changes to this document and our processes for protecting PID reporters from detrimental action in the future.

If, after an investigation, it is found that serious wrongdoing or other misconduct has occurred, the NHVR will take the most appropriate action to address that wrongdoing or misconduct. This is also known as corrective action.

Corrective action can include:

- a formal apology
- improving internal policies to adequately prevent and respond to similar instances of wrongdoing
- providing additional education and training to staff where required
- taking employment action against persons involved in the wrongdoing (such as termination of employment, relocation, a caution or reprimand)
- payment of compensation to people who have been affected by serious wrongdoing or other misconduct.

The PID maker will be notified of the proposed or recommended corrective action in writing.

7 Review and dispute resolution

(a) Internal review

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

- that the NHVR is not required to deal with the report as a voluntary PID
- to stop dealing with the report because the NHVR 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.

The NHVR 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 the NHVR's decision. The application should state the reasons why you consider the NHVR's decision should not have been made. You may also submit any other relevant material with your application. Internal review applications should be sent to the NHVR's CEO for review and consideration of authorising another PID Coordinator for the PID.

(b) Voluntary dispute resolution

If a dispute arises between the NHVR 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 the NHVR and the maker of the report are willing to resolve the dispute.

8 Other agency obligations

(a) Record-keeping requirements

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

(b) Reporting of voluntary PIDs and NHVR annual return to the Ombudsman

Each year the NHVR provide an annual return to the NSW Ombudsman which includes:

- information about voluntary PIDs received by the NHVR during each return period (yearly with the start date being 1 July)
- action taken by the NHVR to deal with voluntary PIDs during the return period
- how the NHVR promoted a culture in the workplace where PIDs are encouraged.

(c) How NHVR will ensure compliance with the *PID Act* and this guideline

The PID Coordinator will be responsible for oversight of this document's processes generally and its compliance with the *PID Act*. The main oversight arrangement will be that all PID complaints are ultimately received by the PID Coordinator, who has ongoing involvement in the management of the PID until its completion (or until a new PID Coordinator is appointed in accordance with section 7(a) above).

The NHVR will undertake measures to ensure compliance with the *PID Act* and with this document, through six monthly audits of PIDs, associated reviews, timeframe compliance and detrimental action. The NHVR will also undertake annual reporting to the NSW Ombudsman. Reports about compliance will be provided to the NHVR's audit and risk committee.

Non-compliance will be addressed by the PID Coordinator by means including review and amendment of this document, reporting to the CEO and, if appropriate, reporting to the NSW Ombudsman about the non-compliance.

Annexure A – Names and contact details of disclosure officers for NHVR

Name or Title	Contact details
1. PID Coordinator (Director, Governance, Risk, and Assurance, NHVR)	Via the Hotline telephone number on (07) 3309 8889 any business day between 9am and 4pm (or voicemail on weekends or after business hours); Via email at PID@nhvr.gov.au Via post, marked for the attention of the PID Coordinator, National Heavy Vehicle Regulator, GPO Box 492, Fortitude Valley, QLD 4006
2. Director, Legal Services	Via post, marked for the attention of the Director, Legal Services, National Heavy Vehicle Regulator, GPO Box 492, Fortitude Valley, QLD 4006 (07) 3309 8839

Annexure B – 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: oilecc_executive@oilecc.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