

# NSW ARB Policy

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## PUBLIC INTEREST DISCLOSURE

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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).

For the purposes of this policy, the members of the Board of the NSW Architects Registration Board, and the Registrar and employees who support them, are considered a single reporting body, referred to as the ‘NSW ARB’.

This policy is designed to complement normal communication channels between the Registrar, employees and Board members. Employees and Board members are encouraged to raise matters of concern at any time with the Registrar but also have the option of making a report about a public interest issue in accordance with this policy and the PID Act.

At the NSW ARB 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 Board members, employees, 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:

- 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.

The NSW ARB is committed to supporting and protecting people that report serious wrongdoing and detrimental action against report makers will not be tolerated.

This policy should be read in conjunction with the following NSW ARB policies:

- FRAUD AND CORRUPTION CONTROL
- CODE OF CONDUCT FOR BOARD MEMBERS AND EMPLOYEES
- INTERNAL REVIEW OF DECISIONS BY AND COMPLAINTS ABOUT NSW ARB EMPLOYEES
- AGENCY INFORMATION GUIDE – PUBLIC ACCESS TO INFORMATION HELD BY THE NSW ARCHITECTS REGISTRATION BOARD
- INTERNAL GRIEVANCES

## Accessibility of this policy

This policy is publicly available on our website [www.architects.nsw.gov.au](http://www.architects.nsw.gov.au), as well as internally available for NSW ARB employees in the “ARB – Company” folder on Sharepoint.

A copy of the policy is also sent to all Board members and NSW ARB employees on their commencement.

A hard copy of the policy can be requested from Dr Kirsten Orr, CEO and Registrar of the NSW ARB.

## Who does this policy apply to?

This policy applies 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 who is 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 relevant NSW ARB public officials are the below:

- a person employed by the NSW ARB
- 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 – this includes members of the NSW ARB Board and committees
- a person providing services or exercising functions on behalf of the NSW ARB, 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 the NSW ARB or exercises functions of the NSW ARB, and who is involved in providing those services or exercising those functions.

The Registrar, other nominated disclosure officers, and managers within the NSW ARB 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 the NSW ARB may use this policy if they want information on who they can report wrongdoing to within the NSW ARB.

Consultants who assist the NSW ARB with its work are not considered public officials under the PID Act.

Also not covered under this PID policy are policies on how a member of the public can complain about the agency or how to deal with personal work-related grievances.

If a member of the public wants to complain about the NSW ARB and/or its employees, they should refer to 'NSW ARB POLICY - INTERNAL REVIEW OF DECISIONS BY AND COMPLAINTS ABOUT NSW ARB EMPLOYEES'.

Personal work-related grievances are handled under the 'NSW ARB POLICY - INTERNAL GRIEVANCES'.

## Who does this policy not apply to?

This policy does 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, this policy does not apply to your complaint (there are some circumstances where a complaint can be deemed to be a voluntary PID, see section 1(i) of this policy for more information).

However, you can still make a complaint to us. Any person who wants to make a complaint to the NSW ARB can contact us on:

T: +61 2 9241 4033  
E: [mail@architects.nsw.gov.au](mailto:mail@architects.nsw.gov.au)

Please refer to 'NSW ARB POLICY - INTERNAL REVIEW OF DECISIONS BY AND COMPLAINTS ABOUT NSW ARB EMPLOYEES' for guidance which can be found on our website [www.architects.nsw.gov.au](http://www.architects.nsw.gov.au).

## Compliance with the PID Act

This policy will be reviewed by the NSW ARB every 2 years.

The Senior Lawyer, Regulation and Compliance, in conjunction with the Registrar, will review the policy and monitor the policy and consider whether it is meeting its purpose. The Registrar will approve the version of the policy to be published.

If an error or issue is found in the policy, please contact us on:

T: +61 2 9241 4033  
E: [mail@architects.nsw.gov.au](mailto:mail@architects.nsw.gov.au)

For any advice or guidance about policy reviews, contact the PID Advice Team within the NSW Ombudsman by phone: 1800 710 277 or email: [pidadvice@ombo.nsw.gov.au](mailto:pidadvice@ombo.nsw.gov.au).

## What is contained in this policy?

This policy will provide you with information on the following:

- ways you can make a voluntary PID to the NSW ARB under the PID Act

- the names and contact details for the nominated disclosure officers in the NSW ARB
- the roles and responsibilities of people who hold particular roles under the PID Act and who are employees of the NSW ARB
- 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
- NSW ARB procedures for dealing with disclosures
- NSW ARB procedures for managing the risk of detrimental action and reporting detrimental action
- NSW ARB record-keeping and reporting requirements
- how the NSW ARB 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:

- confidentially contact a nominated disclosure officer within the NSW ARB
- contact the PID Advice Team within the NSW Ombudsman by phone: 1800 710 277 or email: [pidadvice@ombo.nsw.gov.au](mailto:pidadvice@ombo.nsw.gov.au), or
- access the NSW Ombudsman's PID guidelines which are available on its website.

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 policy, but we will also make sure we follow 'NSW ARB POLICY – INTERNAL GRIEVANCES'.

Employees should report all wrongdoing and misconduct, not only reports of serious wrongdoing as defined under the PID Act, and the NSW ARB will deal with these appropriately even if they are not a PID.

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 3 types of PIDs in the PID Act. These are:

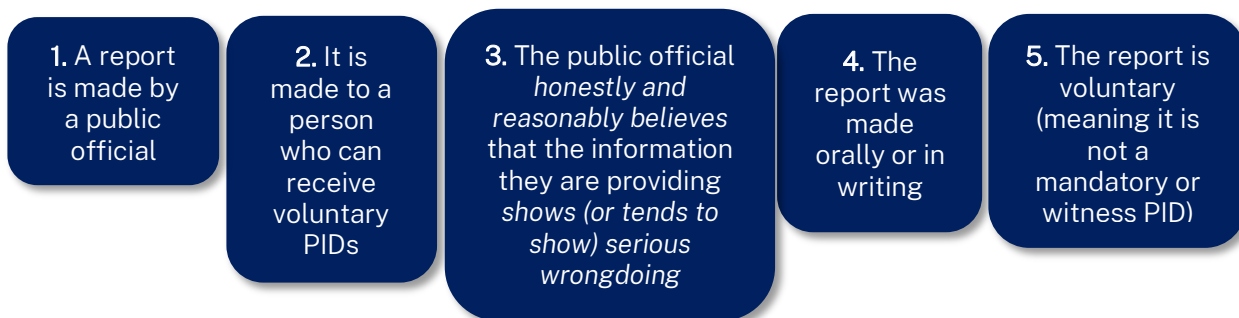
1. *Voluntary PID*: This is a PID where a report has been made by the public official because they decided, of their own accord, to come forward and disclose what they know.
2. *Mandatory PID*: This is a PID where the public official has made a report about serious wrongdoing because they have a legal 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 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 section 2 of this policy. You can find more information about mandatory and witness PIDs in the NSW 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 all 5 of the following features, which are set out in sections 24 to 27 of the PID Act:



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 policy.

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

Any public official can make a voluntary PID — see ‘Who this policy applies to’. You are a public official if:

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

The relevant NSW ARB public officials are the below:

- a person employed by the NSW ARB
- 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 – this includes members of the NSW ARB Board and committees
- a person providing services or exercising functions on behalf of the NSW ARB, 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 the NSW ARB or exercises functions of the NSW ARB, and who is involved in providing those services or exercising those functions

Consultants who assist the NSW ARB with its work are not considered public officials under the PID Act.

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 policy 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 employees
- *a government information contravention* — such as destroying, concealing or altering records to prevent them from being released under a Government Information Public Access (GIPA) application
- *a local government pecuniary interest contravention* — such as a senior council employee 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 us what category of serious wrongdoing you are reporting or that you are reporting serious wrongdoing.

For more information, you can refer to the NSW Ombudsman's guideline 'What is 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 NSW ARB**

You can make a report inside the NSW ARB to:

- The Registrar
- a disclosure officer for the NSW ARB — a list of disclosure officers for the NSW ARB and their contact details can be found at Annexure A of this policy
- 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.

The following guidance is provided on who is a manager:

- for a public official who is a person *providing services or exercising functions on behalf of an agency* (including a contractor, subcontractor or volunteer) or an employee, partner or officer of an entity that provides services on behalf of an agency or exercises functions of an agency — their manager is taken to be the public official in that agency who oversees those services or functions, or who manages the relevant contract or volunteering arrangement
- for a *person declared to be a public official in the PID Regulations* — a person declared by the regulations to be the manager of the public official for the purposes of the PID Act
- for *all other public officials* — this is the person to whom the public official reports directly or indirectly, or who supervises them directly or indirectly.

### **Making a report to a recipient outside of the NSW ARB**

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 policy
- a *disclosure officer for another agency* — ways to contact disclosure officers for other agencies is located in the other 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 NSW ARB 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 Members of Parliament (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 NSW ARB:
  - notification that the NSW ARB 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 NSW ARB 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 6 months from the previous disclosure being made, or
- after 12 months if you applied for an internal review of the agency's decision within 6 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:

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

Please see Annexure A for the names and contact details of our disclosure officers.

#### **(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
- name 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 Registrar 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 report makers 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 Registrar 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 Registrar. 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, please contact our disclosure officers. Contact details are provided at Annexure A of this policy. If you want to do this confidentially, please contact the disclosure officers by phone to discuss how you can do this. If you are writing to us and want the correspondence to remain confidential, please clearly identify this. We will assess whether it is possible and appropriate to keep your identity confidential.

## **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 NSW ARB that concerns serious wrongdoing relating to the NSW ARB has been made, we 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 5 years or both.
  - A person may seek compensation where unlawful detrimental action has been taken against them.
  - A person can apply for a court order (injunction) where detrimental action is threatened or has occurred (for example, an order to prevent dismissal or to require reinstatement).

Note that a person who makes a PID can still be subject to reasonable management action (such as ordinary performance reviews and performance management). Provided such action is not taken because of the PID, it is not detrimental action under the PID Act.

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

- *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.
- *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
<b>Detrimental action</b> — 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.	✓	✓
<b>Right to compensation</b> — A person can initiate proceedings and seek compensation for injury, damage or loss suffered as a result of detrimental action being taken against them.	✓	✓
<b>Ability to seek injunction</b> — 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.	✓	✓
<b>Immunity from civil and criminal liability</b> — 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"> <li>• breaching a duty of secrecy or confidentiality, or</li> <li>• breaching another restriction on disclosure.</li> </ul>	✓	✓

### 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 us or to an integrity agency. A list of our disclosure officers and their contact details is located at Annexure A of this policy. A list of integrity agencies is located at Annexure B of this policy.

### 4. General support

If an employee has questions about the PID Act and reporting generally, they can be referred to the NSW Ombudsman.

We will allocate to the report maker a person who will be their key contact person and who will take steps to protect their interests, for example, if they are at risk of detrimental action.

We can link the person who has made the report to wellbeing support through the Employee Assistance Program or another program.

The NSW ARB will make sure that employees who have reported wrongdoing, regardless of whether their report is treated as a PID, are provided with access to any reasonable professional support they may need as a result of the reporting process – such as stress management or counselling services.

Access to support may also be available for other employees involved in the internal reporting process where appropriate. Report makers and other employees involved in the process can discuss their support options with the Registrar.

### 5. Roles and responsibilities of NSW ARB employees

Certain people within the NSW ARB have responsibilities under the PID Act.

#### (a) The Registrar as Head of Agency

The Registrar 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 NSW ARB complies with this policy and the PID Act
- ensuring that the NSW ARB 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 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.

### **(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 NSW ARB
- 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 the NSW ARB will deal with voluntary PIDs**

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

When a disclosure officer in the NSW ARB 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 we deal 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 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 3 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.
  - The acknowledgment and updates will be provided by way of secure email, by phone discussions, or virtually via Zoom or another platform.
  - If you have made an anonymous report, in many cases we may not be able to provide this information to you.

## **(b) How we will deal with voluntary PIDs**

Once a report that may be a voluntary PID is received we 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.

The Registrar has ultimate responsibility for maintaining the internal reporting system and workplace reporting culture, and for ensuring that the NSW ARB complies with the PID Act. The Registrar can receive reports from employees and has a responsibility to:

- assess all reports to determine whether the report should be treated as a public interest disclosure, and to decide how the report will be dealt with
- make decisions following any investigation, or appoint an appropriate decision-maker
- take appropriate remedial action where wrongdoing is substantiated, or systemic problems are identified
- refer actual or suspected corrupt conduct to the Independent Commission Against Corruption (ICAC)
- acknowledge reports and provide updates and feedback to the report maker
- assess whether it is possible and appropriate to keep the report maker's identity confidential
- ensure the NSW ARB complies with the PID Act
- document in writing any reports received verbally, and have the document signed and dated by the report maker
- make arrangements to ensure employees can make reports privately and discreetly when requested, if necessary, away from the workplace, and
- discuss with the report maker any concerns they may have about detrimental action or workplace conflict.

If a person does not wish to report to the Registrar, either because the report regards the Registrar or for some other reason, the person may instead report to the Board President. In the event of such

a report, the Board President will discharge the powers and obligations of the Registrar. Correspondence with the Board President should be carried out care of the Deputy Registrar.

The assessment undertaken may be quality checked by the Senior Lawyer, Regulation and Compliance.

### **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 internal complaints or grievance handling process - the NSW ARB POLICY – INTERNAL GRIEVANCES - 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 a disclosure officer, request an internal review or request that the matter be conciliated. We can, but do not have to, request the NSW Ombudsman to conciliate the matter.

### **Cease dealing with report as voluntary PID**

We 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).

We will contact the maker of a purported PID in writing when advising that we have ceased dealing with the report as a voluntary PID. We will provide the report maker with the reasons why we have ceased dealing with the report as a voluntary 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 we 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 consider 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 report 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 report maker can be identified. We will do this by:

- limiting the number of people who are aware of the report 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 report maker, unless we have their consent to do so.
- ensuring 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.
- ensuring that only authorised persons have access to emails, files or other documentation that contain information about the identity of the report maker.
- undertaking an assessment to determine if anyone is aware of the report maker's identity and if those persons have a motive to cause detrimental action to be taken against them 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 employees.

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 we will assess and minimise the risk of detrimental action**

We 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.

We 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.

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

- undertaking a risk assessment by the Registrar and creating a risk management plan (including reassessing the risk throughout the entirety of the matter)
- communicating with the report maker to identify risks in writing
- discussing protection options with the report maker which may include remote working or approved leave for the duration of the investigation
- outlining what supports will be provided.

Further information on assessing the risk of detrimental action is found in the NSW Ombudsman's guideline 'Agencies — assessing and managing the risk of detrimental action'.

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 report maker's work performance.

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

If we become aware of an allegation that a detrimental action offence has occurred or may occur, we 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 victim of detrimental action should speak to the Registrar. The Registrar will be responsible for making referrals about alleged detrimental action offences.

The person who the alleged detrimental action has been taken against will be updated in writing and will be supported by the Registrar.

#### **(f) What we will do if an investigation finds that serious wrongdoing has occurred**

If, after an investigation, it is found that serious wrongdoing or other misconduct has occurred, we 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 employees 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 Registrar receives the findings of an investigation (this may change depending on the complexity of the investigation and will be set out in the Terms of Reference or Investigation Plan).

The Registrar will take all necessary steps to address any recommendations in the findings and will be responsible for ensuring corrective action takes place.

The report 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 NSW ARB:

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

We 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 our decision. The application should state the reasons why you consider our decision should not have been made. You may also submit any other relevant material with your application.

Internal review applications can be sent to the disclosure officers outlined at Annexure A of this policy.

We will aim to complete the internal review within 28 days of receipt of the application however this timeframe may be extended if necessary. You will be advised in writing of the timeframe you can expect.

### **(b) Voluntary dispute resolution**

If a dispute arises between us 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 we and the report maker are willing to resolve the dispute.

## **8. Other agency obligations**

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

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

Information will be stored securely on our internal server and security/access levels will be applied to all communications regarding reports made in accordance with the PID Act.

### **(b) Reporting of voluntary PIDs and the NSW ARB annual return to the Ombudsman**

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

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

The Senior Lawyer, Regulation and Compliance, in conjunction with the Registrar, will be responsible for collecting information about voluntary PIDs and the other information captured in the annual return and will prepare the annual return.

### **(c) How we will ensure compliance with the PID Act and this policy**

The NSW ARB is committed to the following principles:

- creating a climate of trust, where employees are comfortable and confident about reporting wrongdoing
- encouraging employees to come forward if they are aware of, or suspect, wrongdoing within the NSW ARB
- keeping the identity of the employee disclosing wrongdoing confidential, where this is possible and appropriate
- protecting employees from any adverse action resulting from making a report
- dealing with reports thoroughly and impartially and, if some form of wrongdoing has been found, taking appropriate action to address it
- keeping employees who make reports informed of progress and the outcome
- encouraging employees to report wrongdoing within the NSW ARB, but respecting any decision to disclose wrongdoing outside the NSW ARB in accordance with the provisions of the PID Act, and
- reviewing this policy periodically, every 2 years, to ensure it is relevant and effective.

The Registrar has oversight of this policy, ensuring compliance with the PID Act. The Senior Lawyer, Regulation and Compliance, in conjunction with the Registrar, will review the policy and monitor the policy and consider whether it is meeting its purpose. The Registrar will approve the version of the policy to be published.

Reports about compliance will be provided to the NSW ARB's Finance and Risk Committee.

If an error or issue is found in the policy, please contact us on:

T: +61 2 9241 4033

E: [mail@architects.nsw.gov.au](mailto:mail@architects.nsw.gov.au)

For any advice or guidance, you can contact the PID Advice Team within the NSW Ombudsman by phone: 1800 710 277 or email: [pidadvice@ombo.nsw.gov.au](mailto:pidadvice@ombo.nsw.gov.au).

## **Annexure A -**

### **Names and contract details of disclosure officers for the NSW ARB**

#### **Head of Agency**

Dr Kirsten Orr

Phone: 02 9241 4033

Mobile: 0403 617 760

Email: [kirsten.orr@architects.nsw.gov.au](mailto:kirsten.orr@architects.nsw.gov.au)

#### **Disclosure Officer**

The Board President

Correspondence with Board President is to be carried out care of the Deputy Registrar, Nadine Roberts

Phone: 02 9241 4033

Mobile: 0418 883 017

Email: [nadine.roberts@architects.nsw.gov.au](mailto:nadine.roberts@architects.nsw.gov.au)

## Annexure B - List of integrity agencies

Integrity agency	What they investigate	Contact information
The NSW Ombudsman	Most kinds of <b>serious maladministration</b> by most agencies and public officials (but not NSW Police, judicial officers or MPs)	<b>Telephone:</b> 1800 451 524 between 9am to 4pm Monday to Friday <b>Postal address:</b> Level 24, 580 George Street, Sydney NSW 2000 <b>Email:</b> <a href="mailto:info@ombo.nsw.gov.au">info@ombo.nsw.gov.au</a>
The Auditor-General	<b>Serious and substantial waste of public money</b> by auditable agencies	<b>Telephone:</b> 02 9275 7100 <b>Postal address:</b> GPO Box 12, Sydney NSW 2001 <b>Email:</b> <a href="mailto:governance@audit.nsw.gov.au">governance@audit.nsw.gov.au</a>
Independent Commission Against Corruption	<b>Corrupt conduct</b>	<b>Telephone:</b> 02 8281 5999 or toll free on 1800 463 909 (callers outside Sydney) between 9am and 3pm, Monday to Friday <b>Postal address:</b> GPO Box 500, Sydney NSW 2001 or faxing 02 9264 5364 <b>Email:</b> <a href="mailto:icac@icac.nsw.gov.au">icac@icac.nsw.gov.au</a>
The Inspector of the Independent Commission Against Corruption	<b>Serious maladministration</b> by the ICAC or the ICAC officers	<b>Telephone:</b> 02 9228 3023 <b>Postal address:</b> PO Box 5341, Sydney NSW 2001 <b>Email:</b> <a href="mailto:oiicac_executive@oiicac.nsw.gov.au">oiicac_executive@oiicac.nsw.gov.au</a>
The Law Enforcement Conduct Commission	<b>Serious maladministration</b> by the NSW Police Force or the NSW Crime Commission	<b>Telephone:</b> 02 9321 6700 or 1800 657 079 <b>Postal address:</b> GPO Box 3880, Sydney NSW 2001 <b>Email:</b> <a href="mailto:contactus@lecc.nsw.gov.au">contactus@lecc.nsw.gov.au</a>
The Inspector of the Law Enforcement Conduct Commission	<b>Serious maladministration</b> by the LECC and LECC officers	<b>Telephone:</b> 02 9228 3023 <b>Postal address:</b> GPO Box 5341, Sydney NSW 2001 <b>Email:</b> <a href="mailto:oiecc_executive@oiecc.nsw.gov.au">oiecc_executive@oiecc.nsw.gov.au</a>
Office of the Local Government	<b>Local government pecuniary interest contraventions</b>	<b>Telephone:</b> 02 4428 4100 <b>Postal address:</b> Locked Bag 3015, Nowra NSW 2541 <b>Email:</b> <a href="mailto:olg@olg.nsw.gov.au">olg@olg.nsw.gov.au</a>
The Privacy Commissioner	<b>Privacy contraventions</b>	<b>Telephone:</b> 1800 472 679 <b>Postal address:</b> GPO Box 7011, Sydney NSW 2001 <b>Email:</b> <a href="mailto:ipcinfo@ipc.nsw.gov.au">ipcinfo@ipc.nsw.gov.au</a>
The Information Commissioner	<b>Government information contraventions</b>	<b>Telephone:</b> 1800 472 679 <b>Postal address:</b> GPO Box 7011, Sydney NSW 2001 <b>Email:</b> <a href="mailto:ipcinfo@ipc.nsw.gov.au">ipcinfo@ipc.nsw.gov.au</a>

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