



Australian Government

The Treasury

COMMONWEALTH OF AUSTRALIA

Public Interest Disclosure Act 2013

Procedures for Public Interest Disclosures

WHEREAS under subsection 59(1) of the *Public Interest Disclosure Act 2013* (Cth) (**PID Act**), the principal officer of an agency must establish procedures for facilitating and dealing with public interest disclosures relating to the agency. The procedures must include:

- (a) assessing risks that reprisals may be taken against the persons who make those disclosures; and
- (b) providing for confidentiality of investigative processes.

I, Matthew James Flavel, of the Department of the Treasury:

- (a) REVOKE all previous procedures made by the Secretary of the Department of the Treasury under the PID Act; and
- (b) ESTABLISH these Procedures and appoint the positions set out in Attachment B as Authorised Officers in accordance with the PID Act.

A handwritten signature in blue ink that reads 'mflavel'.

Matt Flavel
Deputy Secretary
Corporate Services and Business Strategy Group

9 July 2018

1. INTRODUCTION

This document constitutes the procedures for facilitating and dealing with public interest disclosures for the purposes of section 59(1) of the *Public Interest Disclosure Act 2013* (Cth) (**PID Act**) for the Department of the Treasury (**the Treasury**).

The Treasury is committed to the highest standards of ethical and accountable conduct. The Treasury encourages the reporting of wrongdoing under the PID Act, and will act on disclosures where appropriate and protect disclosers from any reprisals or threats of reprisals as a result of making a disclosure.

The operation of these procedures will be reviewed regularly to ensure their continued effectiveness.

In these procedures, all references to the Secretary include references to her or his delegate.

2. WHAT ARE PUBLIC INTEREST DISCLOSURES?

Not all disclosures of information that might be made to the Treasury will be a 'public interest disclosure' (**PID**) for the purposes of the PID Act. A disclosure of information will only be a PID to which these procedures relate if it meets the following requirements:

- it is made by a public official or a person who has been a public official;
- the information tends to show, or the discloser believes on reasonable grounds that the information tends to show, one or more instances of 'disclosable conduct' as defined by the PID Act; and
- the disclosure is made to an appropriate person. This includes an Authorised Officer or the supervisor of the discloser.

Only if each of the above requirements has been met will the disclosure be covered by the PID Act and the discloser have the benefit of the protections that it confers.

Accordingly, it is important that persons contemplating make a disclosure of information carefully review the contents of the PID Act and seek legal advice where appropriate in order to determine whether the disclosure can be made in a way that attracts the protections of the PID Act.

A summary of the Key Roles and Responsibilities in relation to PIDs is set out at **Attachment A**.

2.1 Authorised Officer

A list of Authorised Officers for the purposes of the PID Act who have been appointed by the Secretary is set out at **Attachment B**.

A PID can be made to an Authorised Officer of the Treasury if the PID relates to the Treasury or the discloser belongs, or last belonged, to the Treasury.

2.2 Public official

A person must be a current or former 'public official' to make a PID. This includes Australian Public Service employees, members of the Defence Force, appointees of the Australian Federal Police, Parliamentary Service employees, directors or staff members of a Commonwealth company, statutory office holders or other persons who exercise powers under a Commonwealth law.

Individuals and organisations that provide goods or services under a Commonwealth contract are also included, for example, subcontractors who provide goods or services for the purposes of the Commonwealth contract.

An Authorised Officer can deem an individual to be a public official if they reasonably believe that the individual has information about wrongdoing and proposes to make a disclosure.

2.3 Disclosable conduct

A current or former public official can disclose information that they believe, on reasonable grounds, tends to show disclosable conduct.

'Disclosable conduct' is defined in section 29 of the PID Act. That definition applies for the purposes of these procedures.

Disclosable conduct is conduct by:

- an agency;
- a public official in connection with their position; or
- a contracted Commonwealth service provider in connection with entering into or giving effect to the contract,

if that conduct:

- (a) contravenes a law of the Commonwealth, a State or a Territory;
- (b) occurs in a foreign country and contravenes a law in force in that country that applies to the agency or public official and that corresponds to a law in force in the Australian Capital Territory;
- (c) perverts, or attempts to pervert, the course of justice or involves corruption of any other kind;
- (d) constitutes maladministration, including conduct that:

- is based on improper motives;
 - is unreasonable, unjust or oppressive; or
 - is negligent;
- (e) is an abuse of public trust;
- (f) is fabrication, falsification, or deception in relation to scientific research, or misconduct in relation to scientific work;
- (g) results in the wastage of public money or public property or of the money or property of an authority covered by the PID Act;
- (h) unreasonably results in a danger to the health and safety of a person, or unreasonably results in or increases the risk of a danger to the health and safety of a person; or
- (i) results in a danger to the environment, or results in or increases the risk of a danger to the environment;
- (j) is prescribed by the PID Rules; or
- (k) is engaged in by a public official that:
- involves abuse of the public official's position; or
 - could, if proved, give reasonable grounds for disciplinary action against the public official.

3. MAKING A DISCLOSURE UNDER THE PID ACT

3.1 How to make a disclosure under the PID Act

Where a public official is considering making a disclosure, they should, in the first instance, contact an Authorised Officer to get information about making a public interest disclosure under the PID Act.

Treasury staff are encouraged to make a disclosure internally to their current supervisor or to one of the Treasury's Authorised Officers. Making a disclosure internally allows the Treasury the opportunity to investigate the matter and remove any danger or correct any wrong practices as quickly as possible.

If a public official discloses information to a supervisor and the supervisor has reasonable grounds to believe that the information concerns, or could concern, disclosable conduct, the supervisor must give the information to an Authorised Officer as soon as reasonably practicable.

If a staff member has information about suspected wrongdoing in another agency, they may choose to make a disclosure directly to an Authorised Officer in that agency.

A disclosure can also be made to Authorised Officers of the Commonwealth Ombudsman (Ombudsman) if the discloser believes on reasonable grounds that it would be appropriate for the Ombudsman to investigate.

A public interest disclosure may be made anonymously or openly, and may be made orally or in writing. The discloser does not need to state or intend that they are doing so under the PID Act and for the requirements of the PID Act to apply.

Staff should note that making a PID does not entitle them to protection from the consequences of their own wrongdoing. Additionally, a person who knowingly makes a false or misleading disclosure will not have any protections under the PID Act.

3.2 What information should be provided when making a PID?

The information contained in a disclosure should be clear and factual, and should, as far as possible, avoid speculation, personal attacks and emotive language. It should contain supporting evidence where that is available to the discloser and should, where possible, identify any witnesses to the disclosable conduct.

Depending on the circumstances, a discloser should consider providing as many of the following matters as possible:

- their name and contact details;
- the nature of the suspected wrongdoing;
- who they think committed the suspected wrongdoing;
- when and where the suspected wrongdoing occurred;
- any relevant events surrounding the issue;
- if they did anything in response to the suspected wrongdoing;
- others who know about the suspected wrongdoing and have allowed it to continue;
- whether they believe their information is a PID under the PID Act (it does not need to be described that way for it to be treated as a PID); and
- if they are concerned about possible reprisal as a result of making a disclosure.

3.3 Anonymous disclosures

Disclosers may wish to make anonymous disclosures. A disclosure is anonymous if the identity of the discloser is not revealed and if no contact details for the discloser are provided. It is also anonymous if the discloser does not disclose their name but provides anonymous contact details. Receiving an anonymous disclosure does not mean that it cannot be treated as a disclosure for the purposes of the PID Act. Where a supervisor or manager receives a disclosure of one of these kinds they must refer it to an Authorised Officer as soon as is reasonably practicable.

Where an Authorised Officer receives a disclosure of one of these kinds they must consider whether to exercise the power in section 70 of the PID Act to determine on their own initiative that a person who has disclosed information to them is a public official in relation to the making of the disclosure. However, if the Authorised Officer cannot contact the discloser, no determination can be made because the Authorised Officer must be able to give written notice of the determination to the individual.

3.4 Confidentiality

The Authorised Officer and the Secretary will take all reasonable steps to protect the identity of a public official who has made a PID from the time the disclosure is made.

Only individuals directly involved in dealing with the PID (such as the Authorised Officer and the Secretary) may be advised of the details of the PID. These individuals must not disclose the identity of the discloser or any information which is likely to reveal the identity of the discloser without the consent of the discloser.

It is an offence for a public official to disclose information that is likely to enable the identification of a person as a person who has made a PID other than in accordance with the PID Act.

Similarly, if a person discloses information to another person or uses information otherwise than in accordance with the PID Act, the person commits an offence if the information was obtained by the person:

- in the course of conducting a disclosure investigation; or
- in connection with the performance of a function or the exercise of a power by the person under the PID Act.

Identifying information about a discloser will not be disclosed to a court or tribunal except where necessary to give effect to the PID Act.

3.5 Recordkeeping

Details about how and when a PID was made should be recorded and kept in a secure place. If the disclosure was given verbally, consideration should be given to asking the discloser to sign a record of the disclosure. Subsequent conversations where the disclosure is discussed should also be documented.

3.6 Protections and support

(a) Protections for disclosers

The PID Act provides a number of protections where the disclosure meets the requirements of being a PID. Chief among these is that any action (including an omission) causing detriment cannot be taken or threatened against the discloser because they made a PID (known as reprisal action).¹

Protections under the PID Act remain in place even after any investigation has been completed and the matter concluded.

It is an offence to take, or threaten to take, reprisal action. Prosecution can take place under the PID Act, and can carry a penalty of two years imprisonment. A discloser can also access the general protections provisions of the *Fair Work Act 2009*.

(b) Risk assessment

A reprisal risk assessment will be conducted for each PID. The risk assessment will be reviewed as required though the course of any PID investigation.

In most circumstances, the Authorised Officer will conduct the risk assessment for a PID. However, if the disclosure is first made to a manager or supervisor and the person wishes their identity to remain anonymous, the manager or supervisor should conduct a risk assessment.

A risk assessment should involve assessing the specific behaviour and circumstances that may result in reprisals, and then putting in place appropriate strategies to prevent or contain them. Inappropriate workplace behaviour, including harassment, intimidation, undermining of authority, ostracism, humiliation, questioning of motives and heavier scrutiny of work, can greatly increase stress and can result in serious injury to someone who has made a disclosure.

The risk assessment can include the risk of direct reprisal against the discloser and the risk of related workplace conflict or difficulties.

¹ See section 13 of the PID Act for full details

The discloser will be informed of the protections and the proper channels for reporting victimisation or discrimination. As part of the risk assessment, any concerns of the discloser about the risks of reprisal will be discussed with them and addressed, taking into account all of the circumstances.

The following framework may be used in assessing the risk of reprisals being taken against a discloser:

- Identifying – are reprisals or related workplace conflict problems in the workplace, or do they have the potential to be problems?
- Assessing – what is the likelihood and consequence of reprisals or related workplace conflict?
- Controlling – what strategies should be put in place to prevent or contain reprisals or related workplace conflict?
- Monitoring and reviewing – have the strategies been implemented and were they effective?

(c) Support for disclosers

Regardless of the outcomes of the risk assessment, the Treasury will take reasonable steps to protect disclosers from reprisal action, and will support those who make disclosures, and who are otherwise involved in PID matters. This may include taking one or more of the following actions:

- (d) with the discloser's consent, appointing a support person to assist the discloser, who is responsible for checking on the wellbeing of the discloser regularly;
- (e) informing the discloser of the progress of the investigation;
- (f) advising the discloser of the availability of the Employee Assistance Program and access to workplace harassment contact officers;
- (g) where there are any concerns about the health and wellbeing of the discloser, liaising with officers responsible for work health and safety in the Treasury; and
- (h) transferring the discloser to a different area within the workplace with the consent of the discloser.

To avoid doubt, reasonable administrative action taken to protect a person from detriment (for instance transferring the discloser to another business line) is not reprisal action. A person making a PID is also still liable for their own conduct.

(i) Support for a person against whom a disclosure has been made

The Treasury will also take steps to support any employee who is the subject of a PID.

This may include taking one or more of the following actions:

- (a) advising the employee of his or her rights and obligations under the PID Act and about the Treasury's investigation procedures, including the employee's rights to procedural fairness;
- (b) informing the discloser of the progress of the investigation;
- (c) advising the employee of the availability of the Employee Assistance Program;
- (d) ensuring that the identity of the employee is kept confidential as far as reasonably practicable;
- (e) where there are any concerns about the health and wellbeing of the employee, liaising with officers responsible for work health and safety in the Treasury; or
- (f) transferring the employee to a different area within the workplace (with the consent of the employee).

3.7 Immunity from liability

Anyone who makes a PID is not subject to any civil, criminal or administrative liability (including disciplinary action) for making the disclosure. This means that the discloser would not be committing an offence against the secrecy provisions of the *Crimes Act 1914* (Cth) for making a disclosure in accordance with the PID Act. The discloser also has absolute privilege in proceedings for defamation in respect of the PID.

No contractual or other remedy may be enforced, and no contractual or other right may be exercised, against the discloser on the basis of the PID. A contract to which the discloser is a party cannot be terminated because of the PID.

However, these immunities do not apply if the discloser:

- knowingly makes a statement that is false or misleading; or
- makes a disclosure knowing that it contravenes a designated publication restriction and without a reasonable excuse for doing so.

4. CONSIDERING AND ALLOCATING THE DISCLOSURE

4.1 Does the disclosure meet the requirements of a PID?

When an Authorised Officer receives a disclosure of information, he or she will consider the information disclosed and determine whether there are reasonable grounds on which the disclosure could be considered an internal disclosure made in accordance with the PID Act.

Authorised Officers may obtain further information and may make such inquiries as they think fit, for the purposes of deciding the allocation of the disclosure, including for the purposes of deciding whether the disclosure is an internal disclosure made in accordance with the PID Act.

If the Authorised Officer is satisfied that the disclosure meets the requirements of a PID, he or she will allocate the disclosure to one or more agencies for further handling and investigation in accordance with these Procedures. The Authorised Officer will use his or her best endeavours to decide the allocation within 14 days after the disclosure is made.

If the Authorised Officer is not so satisfied, the disclosure will not be allocated. In those circumstances:

- if contacting the discloser is reasonably practicable, the Authorised Officer must inform the discloser in writing of the reasons why the disclosure will not be allocated to an agency, and of any other course of action that might be available to the discloser under other laws of the Commonwealth; and
- if the disclosure relates to conduct that may need to be addressed under:
 - the Treasury's Fraud and Corruption Control Plan;
 - the Treasury's procedures for managing and determining suspected breaches of the APS Code of Conduct;
 - the Treasury's work health and safety policy; or
 - any other of the Treasury's policies or procedures,

the Authorised Officer may refer the matter to be dealt with in accordance with the relevant policy or procedure.

4.2 Allocation of the disclosure

(a) Determining the agency or agencies to which the disclosure will be allocated

In deciding the agency or agencies to which a disclosure will be allocated, the Authorised Officer will have regard to:

- the principle that an agency – other than the Ombudsman, the Inspector-General of Intelligence and Security (IGIS) or an investigative agency prescribed by the Public Interest Disclosure Rules (PID Rules)² – should only deal with disclosures that relate to that agency; and
- such other matters (if any) as the Authorised Officer considers relevant.

In addition, if the Authorised Officer is contemplating allocating the disclosure to the Ombudsman, the IGIS or an investigative agency that has been prescribed by the PID Rules, the Authorised Officer must have regard to additional matters set out in the PID Act.³

The Authorised Officer must not allocate a disclosure to another agency unless an Authorised Officer of that agency has consented to the allocation.

(b) Informing relevant persons of the allocation

Informing the receiving agency

When the Authorised Officer allocates the handling of a disclosure to an agency, the Authorised Officer will inform the principal officer of that agency of:

- the allocation to the agency;
- the information that was disclosed to the Authorised Officer;
- the suspected disclosable conduct; and
- if the discloser's name and contact details are known to the Authorised Officer, and the discloser consents to the principal officer being informed – the discloser's name and contact details.

Informing the discloser

If contacting the discloser is reasonably practicable, as soon as reasonably practicable after the allocation has occurred, the Authorised Officer will also inform the discloser in writing of the allocation and of the information that has been provided to the principal officer of that agency.

Informing other relevant bodies

If the Authorised Officer allocated a disclosure to an agency, including Treasury itself, other than the Ombudsman, the IGIS or an intelligence agency, he or she will inform the Ombudsman of this in writing. If the disclosure is allocated to an intelligence agency, the Authorised Officer will inform the IGIS of this in writing.

² At the time of publication of this policy, no Public Interest Disclosure Rules had been published.

³ See section 44(3)(a)(ii)-(iv) of the [PID Act](#).

(c) Recording the allocation decision

When an Authorised Officer allocates the handling of a disclosure to one or more agencies, he or she must keep an appropriate record of:

- the decision (including the name of each agency to which the disclosure is to be allocated);
- the reasons for the decision; and
- the consent provided by the Authorised Officer of the agency to which the allocation is made.

In addition, the Authorised Officer must keep appropriate records of whether the discloser was informed of the allocation decision and, if so, of:

- the day and time the discloser was notified; and
- the means by which the discloser was notified; and
- the content of the notification.

These records should be kept confidential.

5. INVESTIGATING THE DISCLOSURE

(a) Secretary to decide whether to investigate the disclosure

The Secretary must, as soon as reasonably practicable after being allocated a PID, decide whether to:

- investigate the disclosure;
- not to investigate the disclosure further; or
- investigate the disclosure under a separate investigative power.

The Secretary may decide not to investigate (or may decide to discontinue an investigation already begun) if:

- the discloser is not a current or former public official (and a determination has not been made under section 70 of the PID Act); or
- the information does not to any extent concern serious disclosable conduct; or
- the disclosure is frivolous or vexatious; or
- the disclosure is substantially the same as a disclosure that has been investigated under the PID Act; or

- the disclosure is substantially the same as a disclosure that has already been investigated, or is currently being investigated, under another law of the Commonwealth; and
 - it would be inappropriate to conduct another investigation at the same time; or
 - the Secretary is reasonably satisfied that there are no matters that warrant further investigation; or
- the discloser has informed the Secretary that they do not wish the disclosure to be pursued and the Secretary is reasonably satisfied that there are no further matters concerning the disclosure that warrant investigation; or
- it is impracticable to investigate the disclosure because:
 - the discloser has not revealed their name and contact details; or
 - the discloser has refused or has failed or is unable to give the investigator the information they requested; or
 - of the age of the information.

Decision not to investigate

Where the Secretary decides not to investigate a disclosure, the Secretary will inform the Ombudsman of that decision, and of the reasons for that decision.

If the Secretary has been given the name and contact details of the discloser, the Secretary will also inform the discloser of that decision, of the reasons for that decision and of other courses of action that may be available to the discloser under other laws of the Commonwealth.

Decision to investigate

Where the Secretary has decided that they are required to investigate the disclosure, and where the Secretary has been given the name and contact details of the discloser, the Secretary will, as soon as practicable, inform the discloser that they are required to investigate the disclosure, the investigator's name and contact details and inform the discloser of the estimated length of the investigation.

If the Secretary decides to investigate the disclosure and starts to investigate the disclosure but then decides not to investigate the disclosure further, the Secretary will inform:

- the discloser of that decision, or the reasons for the decision and of other courses of action that might be available to the discloser under other laws of the Commonwealth; and

- the Ombudsman of that decision and the reasons.

(b) Conducting the investigation

An internal disclosure may be investigated in one of two ways:

- under the PID Act; or
- under other legislation applying to the Ombudsman, IGIS and prescribed investigative agencies.

If the Secretary decides to investigate, the Secretary will investigate whether there are one or more instances of disclosable conduct.

General principles

The following general principles will apply to the conduct of investigations:

- maintaining the confidentiality of the identity of the discloser will be paramount when conducting the investigation;
- the investigation will be conducted in accordance with the principles of natural justice;
- a decision whether evidence is sufficient to prove a fact will be determined on the balance of probabilities; and
- a person who is the subject of the investigation will be provided with an opportunity to respond to allegations.

Aside from compliance with these principles and any additional procedural requirements that may apply in the circumstances (see further below), the Secretary is free to conduct the investigation as he or she sees fit. The way in which the investigation is conducted may vary depending on the alleged conduct which is being investigated. In particular, in circumstances where the Secretary considers that the nature of the disclosure is such that the outcome of the investigation is likely to be referral of the matter for investigation under another process or procedure, the investigation under these procedures may appropriately be conducted in a circumscribed way.

Additional procedures required in particular circumstances

If a disclosure relates to conduct that would require the Treasury to take steps under its:

- the Treasury's Fraud and Corruption Control Plan;
- procedures for managing and determining suspected breaches of the APS Code of Conduct;

- work health and safety policy; or
- any other of the Treasury's policies or procedures,

the processes set out in those procedures and policies must be complied with in the conduct of an investigation under these procedures.

If the Secretary considers that information disclosed in the course of a PID may be appropriately dealt with under another procedure or policy of the Treasury, he or she may recommend in the investigation report that this occur and refer the matter to the relevant part of the Treasury.

Obtaining information

Instances of disclosable conduct may relate to information that is disclosed or information obtained in the course of the investigation rather than information provided in the initial disclosure.

During the investigation, the Secretary may, for the purposes of the investigation, obtain information from such persons and make such inquiries as Secretary sees fit.

When being interviewed as part of an investigation, an interviewee will be informed of the following:

- the identity and function of each individual conducting the interview;
- the process of conducting an investigation;
- the authority of the Secretary under the PID Act to conduct the investigation; and
- the protections provided to witnesses under section 57 of the PID Act.

The Secretary will ensure:

- an audio or visual recording of the interview is not made without the interviewee's knowledge;
- when the interview ends, the interviewee is given an opportunity to make a final statement or comment or express a position; and
- any final statement, comment or position by the interviewee is included in the record of the interview.

In conducting the investigation, the Secretary may adopt findings set out in reports of investigations or inquiries under other Commonwealth laws or executive powers, or other investigations under the PID Act.

Confidentiality

The investigation of the disclosure should be conducted in as confidential a manner as is possible. In particular, the identity of both the discloser and the person alleged to have engaged in the disclosable conduct should not be revealed except where this is reasonably necessary for the effective investigation of the disclosure (including because of the need to afford procedural fairness).

Any interviews conducted by an Authorised Officer or delegates (including investigators) should be conducted in private. Any interviews with the discloser should be arranged so as to avoid the identification of the discloser by other staff.

Referral of information to police and others

If, during the course of the investigation, the Secretary suspects on reasonable grounds that some of the information disclosed or obtained in the course of the investigation is evidence of the commission of an offence against a law, the Secretary may disclose the information to a member of an Australian police force. If the information relates to an offence that is punishable by imprisonment for a period of at least two years, the Secretary must disclose the information to a member of an Australian police force.

The investigation may also include consideration of whether a different or further investigation should be conducted by the agency or another body under another law of the Commonwealth.

(c) Preparing the investigation report

Once the Secretary has completed the investigation, he or she will prepare a report of the investigation. The report must set out:

- the matters considered in the course of the investigation;
- the duration of the investigation;
- the Secretary's findings (if any);
- any regulations, rules, administrative requirements or similar matters to which the disclosable conduct relates;
- the action (if any) that has been, is being or is recommended to be taken; and

to the extent relevant:

- the steps taken to gather evidence;
- a summary of the evidence; and

- any claims made about and any evidence of detrimental action taken against the discloser, and the agency's response to those claims and that evidence.

(d) Providing the investigation report to the discloser

If it is reasonably practicable to contact the discloser, the Secretary will provide the discloser with a copy of the report within a reasonable time after preparing the report.

The Secretary may delete from the copy of the report given to the discloser any material:

- that is likely to enable the identification of the discloser or another person; or
- would be exempt for the purposes of Part IV of the *Freedom of Information Act 1982*, would require a national security or other protective security clearance, contains intelligence information or contravenes a designated publication restriction as defined in the PID Act.

(e) Timeframes for completion of an investigation under the PID Act

Investigations under the PID Act must be completed (that is, an investigation report must be completed) within 90 days of the date the matter was allocated for investigations. While a straightforward matter may be completed quickly, more complex issues, where significant evidence needs to be gathered, may take much longer.

The Ombudsman may grant one or more extensions of time. If an extension is granted, the Ombudsman will inform the discloser and give reasons for the extension. This does not apply if contacting the discloser is not reasonably practicable. In cases where the Ombudsman doesn't have the discloser's identity or contact details, the agency handling the disclosure will be asked to notify the discloser.

If an extension is granted, the Secretary will also let the discloser know about the progress of the investigation.

6. WHAT IF THE DISCLOSER IS NOT SATISFIED WITH THE AGENCY'S ACTIONS?

A person who has made an internal disclosure may be unhappy with the agency's decision not to investigate a matter. If the disclosure is investigated, they may believe that the investigation or the agency's response to the investigation was inadequate. A reasonable belief that an investigation under the PID Act was inadequate or that the agency's response was inadequate is one of the conditions for making an external disclosure.

A discloser who is unhappy with the process or how they have been treated may also speak to the Ombudsman. For more information regarding external disclosers, please visit the Ombudsman's [Public Interest Disclosure scheme](#) internet page.

7. FREEDOM OF INFORMATION REQUESTS

Documents associated with a PID are not exempt from the operation of the *Freedom of Information Act 1982* (FOI Act). Requests for access to documents under the FOI Act must be considered on a case by case basis. A range of exemptions may apply to individual documents or parts of documents, particularly in relation to material received in confidence, personal information, operations of agencies, and law enforcement.

For more information please refer to the Treasury's [Freedom of Information](#) internet page.

8. MONITORING AND EVALUATION

Authorised Officers will provide a monthly report to the Secretary specifying the number of PIDs that they have received and the nature of the disclosable conduct for each disclosure.

The People and Organisational Strategy Division will report to the Ombudsman on disclosures made during the financial year.

Attachment A *Key Roles and Responsibilities*

1. SUPERVISORS AND MANAGERS

A public official may make a disclosure to their supervisor. A supervisor includes any public official who supervises or manages the discloser.

If the supervisor or manager believes that the information given to them concerns, or could concern, disclosable conduct, they must give that information to an Authorised Officer of the agency as soon as reasonably practicable.

Supervisors and managers also have a key role in ensuring that the workplace culture supports the making of PIDs. They can help to do so by:

- being knowledgeable about the PID Act and agency procedures, particularly in relation to confidentiality requirements;
- being approachable to staff who wish to raise concerns;
- supporting a staff member who they know has made a PID and ensuring they are protected from reprisal;
- providing a written assessment of any risks that reprisal action might be taken against the discloser when reporting a disclosure to an Authorised Officer;
- increasing management supervision of the workplace if necessary (for example, if workplace conflict occurs because a disclosure has been made or an investigation is under way);
- ensuring identified problems in the workplace are corrected; and
- setting an example for staff.

2. AUTHORISED OFFICERS

The Treasury's Authorised Officers are at Attachment B.

Authorised officers have a range of decision-making, notification and other responsibilities under the PID Act, including:

- receiving disclosures from current or former public officials about disclosable conduct;
- deeming a person to be a public official to facilitate the making of a PID;
- informing a person who may be unaware of the PID Act requirements that information that the Authorised Officer reasonably believes could concern disclosable conduct could be treated as an internal disclosure, explaining the

requirements of the PID Act and advising the person of any designated publication restrictions that may affect disclosure;

- assessing reported information to determine if there are no reasonable grounds to believe the information could be considered to be a PID;
- making any preliminary inquiries necessary to make an allocation decision;
- allocating all or part of the disclosure to the principal officer of their agency and/or another agency, with that agency's consent;
- informing the principal officer of each relevant agency, and the Ombudsman (or the Inspector-General of Intelligence and Security (IGIS)) as appropriate, of allocation decisions and associated information;
- informing the discloser of the allocation decision;
- consenting to the allocation of a disclosure by an Authorised Officer of another agency; and
- advising the discloser of a decision not to allocate, the reasons why and any other course of action that may be available under Commonwealth law.

3. ALL STAFF

If requested, staff must assist the Secretary in the conduct of an investigation under the PID Act. Staff must also use their best endeavours to assist the Ombudsman in their functions under the PID Act.

Beyond those specific responsibilities, all staff share the responsibility of ensuring the PID Act works effectively, this includes:

- reporting matters where there is evidence that shows or tends to show disclosable conduct;
- identifying areas where there may be opportunities for wrongdoing to occur because of inadequate systems or procedures, and proactively raising those with management;
- supporting staff who they know have made PIDs; and
- keeping confidential the identity of a discloser and anyone against whom an allegation has been made, if they become aware of those matters.

Attachment B
Authorised Officers

The positions listed below are appointed as Authorised Officers under the PID Act:

The Treasury	Royal Australian Mint	Australian Office of Financial Management
<i>The Secretary</i>	<i>Chief Executive Officer</i>	<i>Chief Executive Officer</i>
<i>Deputy Secretaries</i>	<i>Chief Information Officer</i>	<i>Chief Risk and Compliance Officer</i>
<i>Division Head, People and Organisational Strategy</i>	<i>Chief Financial Officer</i>	<i>Senior Advisor – People</i>
<i>Manager, Risk, Governance and Appointments</i>	<i>Human Resources Manager</i>	