

 <b>KAIPARA DISTRICT</b> <small>Te ōkeāwai Te Rauwharua</small>	<b>Title of Policy</b>	Whistleblowing Policy		
	<b>Sponsor</b>	General Manager People and Capability	<b>Adopted by</b>	Council
	<b>Author</b>	Hannah Gillespie, General Manager People and Capability	<b>Date adopted</b>	
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1.0	November 17	Hannah Gillespie	Periodic review, minor editing
2.0	August 2020	Hannah Gillespie	Review and editing

## 1 Background

Kaipara District Council has approved this Policy and procedure to ensure people can raise concerns regarding actual or suspected contravention of Council's ethical and legal standards without fear of reprisal or feel threatened by doing so.

The Policy aims to facilitate disclosure of questionable practices, encourage proper individual conduct, and alert our Chief Executive, Mayor and Audit, Risk and Finance Committee of potential problems before they have serious consequences.

This Policy aims to support and reinforce our Code of Conduct Policy, Conflict of Interest, Fraud Policy, and Bullying and Harassment Policy.

## 2 Objective

This Policy and procedure applies to all staff at the Council and includes:

- a) Former Staff members;
- b) Individuals seconded to the Council;
- c) Individuals contracted to the Council under contracts for services;
- d) Members of the Council's Executive Management; and
- e) Appointed Governance members.

## 3 Types of reportable "serious wrongdoings":

A serious wrongdoing may include, but is not limited to, any actual or suspected:

- a) Conduct or practices which are dishonest, illegal or breach any law;
- b) Breach of any Council Policy including our Code of Conduct;
- c) Sexual harassment, bullying, discrimination;
- d) Inappropriate accounting, internal accounting controls, or auditing matters;
- e) Corrupt activities;
- f) Theft, fraud or misappropriation of assets;
- g) Significant mismanagement or waste of funds or resources;
- h) Abuse of authority; or
- i) Unsafe work practice environment.

At Council we consider and will take such allegations seriously. We equally expect and assume that allegations are made in good faith, are truthful and can be substantiated.

#### **4 How to submit a Whistleblow**

Concerns may be communicated by any of the following means:

Mail to:

Protected Disclosures Officer – Chief Executive/General Manager People and Capability  
Kaipara District Council  
42 Hokianga Road  
**Dargaville 0310**

PWC (External Independent Service)

**Enter the details of the whistleblowing service here as above once approved via Council.**

All allegations will be forwarded to the Chief Executive/General Manager People and Capability (unless the allegation involves the Chief Executive and/or General Manager People and Capability, in which case that role will be excluded from the forward, and the matter will then be escalated to the Mayor).

The two responsible officers (if escalated the Mayor and Deputy Mayor) will then discuss and decide the appropriate action to take in order to investigate and validate the allegation. The investigation will be conducted by suitably skilled and unbiased internal or external resources.

The responsible officers will acknowledge receipt of the Whistleblow, and will respond to the Whistleblower as soon as possible (not more than twenty (20) working days) with their action/outcome from the investigation.

#### **5 What to include in your Whistleblow**

An allegation should include enough information about the incident or situation to allow Council to investigate it properly.

Should the complainant wish to remain anonymous, he/she may send the complaint in a way that does not reveal their identity. Should, however, the complainant wish to co-operate in further investigation of the complaint, he/she should submit his or her name and contact details together with the complaint. If he/she identifies themselves in the whistleblow report the investigator might contact them to ask further matters reported in the complaint.

Every report of a possible violation, compliance concern, complaint or other allegation will be retained confidentially in our electronic system.

#### **6 Protection for the whistleblower from retaliation**

Council acknowledges that whistleblowers fear possible retaliation from making a disclosure. This may be a concern of reprisals, discriminations, harassment or retribution. We are committed to minimise that from happening by:

- Keeping the details of the person making the whistleblow confidential and protecting their identity;
- Protection for the individual from victimisation for having made the disclosure; and

- Protection from personal disadvantage for having made the disclosure where the person disclosing has acted in good faith and has not engaged in misconduct or illegal activities or made a malicious disclosure.

Council intends to investigate any report thoroughly made in good faith. Every employee will be required to co-operate in internal investigations of misconduct or unethical behaviour.

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