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Public Interest Disclosure (PID) Risk Assessment

GENERAL INFORMATION:

PID DECMS Incident Number	
Assessing Officer	
Date of receipt of disclosure	Click or tap to enter a date.
Date of risk assessment	Click or tap to enter a date.

PREVIOUS RISK ASSESSMENT:

Has there been a previous risk assessment for this party regarding this issue?	Choose an item.
If yes, please provide date of last risk assessment:	Click or tap to enter a date.
If yes, has anything changed since the last risk assessment?	Choose an item.
If yes, please provide details here.	If yes, please provide details here.
If yes, has the discloser raised any additional concerns or risks?	Choose an item.

VERSION HISTORY:

Date of risk assessment	Have any changes occurred, or has the discloser raised any additional concerns or risks? If so, comment.	Evaluation of Risk
1. Click or tap to enter a date.		Choose an item.


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HAVE YOU:

Choose an item.	Explained the PID management process to the discloser?
Choose an item.	Explained the agency's obligations in relation to confidentiality, the exceptions to confidentiality, and the limitations of it?
Choose an item.	Advised the discloser of their responsibilities, particularly when it comes to their obligations to maintain confidentiality?
Choose an item.	Informed the discloser to advise if circumstances change or the occurrence of any reprisal?

CONCERN OF REPRISAL:

Ask the discloser:	Yes/No	Comments
Is the discloser concerned that a reprisal could take place (as per section 13(2) of the PID Act)?	Choose an item.	

Has a specific threat been made against the discloser?

- ☐ Yes
☐ No

COMMENTS:

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Likelihood of reprisal – risk factors

Risk factors	Yes/No	Comment
Vulnerable discloser		
Was the disclosable conduct directed at the discloser?	Choose an item.	
Do the discloser and the subject of the disclosure work together?	Choose an item.	
Are the discloser and the subject of the disclosure in the same reporting line or do they have managers or staff in common?	Choose an item.	



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Risk factors	Yes/No	Comment
Is the disclosure about a more senior official?	Choose an item.	
Is the discloser employed on a casual or part time basis?	Choose an item.	
Is the discloser physically located in the same office as the subject of the disclosure?	Choose an item.	
Is the discloser isolated, either geographically or due to shift work?	Choose an item.	
Is the disclosure being investigated outside the discloser's organisation?	Choose an item.	
Threats or past experience		
Does the discloser have a history of conflict with the subject of the disclosure?	Choose an item.	
Is there a history of conflict or reprisals in the workplace?	Choose an item.	
Is it likely that the disclosure will exacerbate existing conflicts?	Choose an item.	
Confidentiality unlikely to be maintained		
Is anyone else aware of the disclosure?	Choose an item.	
Has the discloser already raised the issue or revealed their identity in the workplace?	Choose an item.	
Is the discloser's immediate workplace a small team?	Choose an item.	
Are there circumstances, such as stress, that might make it difficult for the discloser to discuss the issue?	Choose an item.	
Will the discloser be identified or suspected if the existence or substance of the disclosure becomes known?	Choose an item.	
Can the disclosure be investigated confidentially?	Choose an item.	

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Risk factors	Yes/No	Comment
Significant reported wrongdoing		
Are there allegations about individuals in the disclosure?	Choose an item.	
Is there more than one wrongdoer involved in the matter?	Choose an item.	
Is (or was) the reported wrongdoing occurring frequently?	Choose an item.	

ANY ADDITIONAL RISK FACTORS IDENTIFIED:

RISK FACTOR	Comment

Based on the information above, the overall likelihood of reprisal being taken against a discloser has been rated as being:

- ☐ Unlikely
- ☐ Possible
- ☐ Likely

Comments:

CONSEQUENCE OF REPRISAL:

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Consequence	Yes/No	Comments/Relevant Factors
<p><u>MINOR</u></p> <ul style="list-style-type: none"> Occasional or irregular action Not work related Minor adverse effect on the discloser <p><u>Example:</u></p> <ul style="list-style-type: none"> Discloser excluded from social functions or informal gatherings 		
<p><u>MODERATE</u></p> <ul style="list-style-type: none"> Routine or repeated actions Work related Adverse effect on the person <p><u>Example:</u></p> <ul style="list-style-type: none"> Regularly withholding important work-related information from the discloser, spreading minor rumours 		
<p><u>MAJOR</u></p> <ul style="list-style-type: none"> Sustained actions or one-off action Work related Significant impact on the discloser <p><u>Example:</u></p> <ul style="list-style-type: none"> unjustified negative performance evaluations, significant damage to professional reputation 		
<p><u>EXTREME</u></p> <ul style="list-style-type: none"> Action which is likely to have severe impact on the discloser <p><u>Example:</u></p> <ul style="list-style-type: none"> Threat of or actual physical violence Unjustified denial of merit-based promotion 		

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The consequence of the reprisal has been rated as:

- ☐ Minor
- ☐ Moderate
- ☐ Major
- ☐ Extreme

Comments:

Supervisor/manager comments

Is it appropriate for the supervisor or manager to provide comment on why reprisal may occur?

Please note that supervisor/manager comment is only appropriate if the supervisor/manager is not party to the conduct and the discloser provides consent to the details of their disclosure being shared with the individual.

- ☐ YES
- ☐ NO

If yes, has the supervisor or manager provided any such comment?

- ☐ YES
- ☐ NO

Please provide details:



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EVALUATION OF RISK

	CONSEQUENCE			
LIKELIHOOD	MINOR	MODERATE	MAJOR	EXTREME
UNLIKELY	Low	Low	Medium	Medium
POSSIBLE	Low	Medium	Medium	High
LIKELY	Medium	Medium	High	High

Based on the identified likelihood and consequence ratings, the overall risk of reprisal has been assessed as:

- ☐ Low Risk
☐ Medium Risk
☐ High Risk

Comments:

Risk Management Plan

What strategies will be implemented to eliminate, minimise or manage the risks to parties involved in the PID?

Treatment Plan	<p>Maintain Confidentiality:</p> <ul style="list-style-type: none"> Ensure the confidentiality of the discloser is maintained to the extent possible. Make sure all parties involved are aware of their obligations regarding confidentiality. <p>Advise Investigator:</p> <ul style="list-style-type: none"> Inform the investigator of any identified risks related to the disclosure. <p>Advise Subject Officers:</p> <ul style="list-style-type: none"> Proactively inform subject officers about the consequences of taking any reprisal actions against the discloser. <p>Alter Reporting Structures:</p> <ul style="list-style-type: none"> Change the reporting lines to minimize contact between the discloser and the subject of the disclosure.
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	<p><i>Increase Monitoring:</i></p> <ul style="list-style-type: none"> <i>Enhance the monitoring of the work environment to detect any signs of reprisal or further risks to the discloser.</i> <p><i>Temporarily Relocate Subject Officer:</i></p> <ul style="list-style-type: none"> <i>Consider temporarily relocating the subject officer to a different location or role to reduce the potential for conflict or reprisal.</i>
Owner of responsibility:	Click or tap here to enter text.
Date to be actioned by:	Click or tap to enter a date.
Monitoring frequency:	Click or tap here to enter text.
Other comments	

Risk Management Review

Throughout the conduct of the investigation, periodically monitor the effectiveness of the risk management plan (in consultation with the party or parties concerned) and identify any amendments required.

Date for next review	Click or tap to enter a date.
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SIGNED:

[SIGNATURE]

[POSITION TITLE]