

# PART 5

## MANAGEMENT AND ACCOUNTABILITY





Anne ZAHALKA (1957–)  
*Gardeners, Formal Gardens* (2014)  
Parliament House Art Collection,  
Department of Parliamentary Services

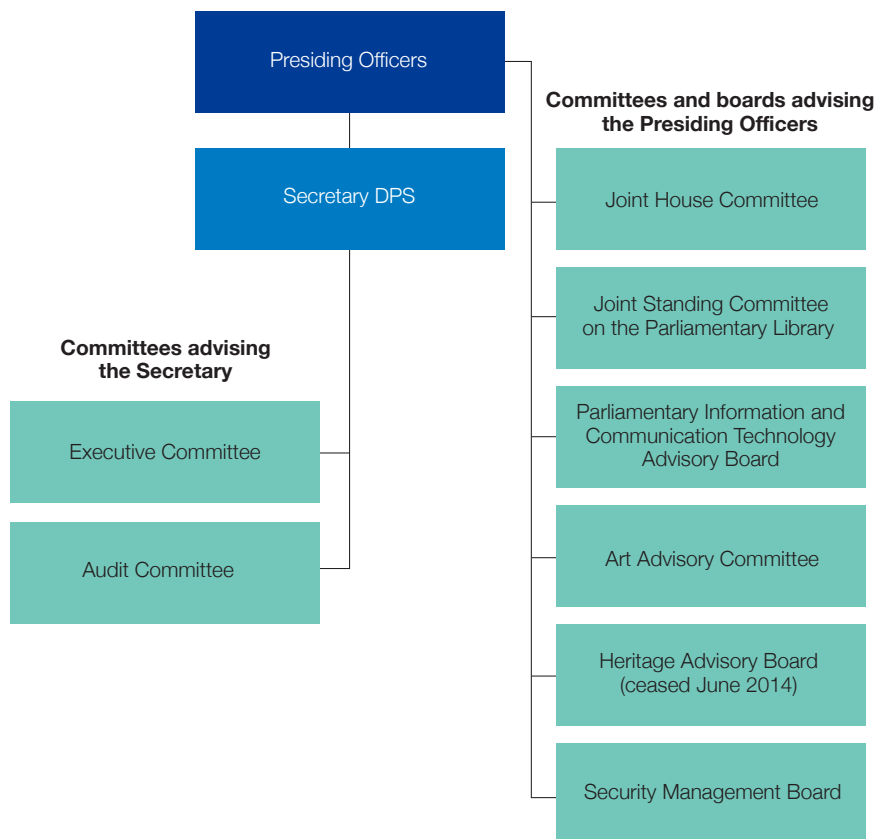
# PART 5

## MANAGEMENT AND ACCOUNTABILITY

### Governance

The President of the Senate and the Speaker of the House of Representatives have joint powers in relation to DPS that are similar, but not identical, to those of a Minister administering an executive department. Parliamentary departments are distinct from government departments, in that they serve the Parliament, not the Government, and operate under the *Parliamentary Service Act 1999*, not the *Public Service Act 1999*. The Presiding Officers are assisted in this by a number of committees as illustrated in Figure 14.

**Figure 14: DPS governance structure**



## Structure and processes

### Committees advising the Presiding Officers

Several committees provide advice on governance and assurance to the Presiding Officers. In 2013–14, they comprised the Joint House Committee, Joint Standing Committee on the Parliamentary Library, Art Advisory Committee, Parliamentary Information and Communication Technology Advisory Board, Security Management Board and the Heritage Advisory Board.

In March 2014, the Presiding Officers agreed to disband the Heritage Advisory Board at the end of the financial year as its work was largely completed. The role of each of the committees is outlined below.

#### Joint House Committee

**Chair:** Senior Presiding Officer

The Joint House Committee (JHC) comprises members of the House Committees of the Senate and the House of Representatives. Members of those committees are appointed under Senate Standing Order 21 and House of Representatives Standing Order 218 respectively. Currently, when these two committees meet jointly as the joint committee, the senior Presiding Officer is the chair.

The joint committee first met on Wednesday 26 June 1901, at which time it was resolved that the JHC would take over responsibility for various maintenance and facilities services (at that time, located in the Victorian Parliament House, Melbourne) and ‘such other matters as tend to the convenience of Members of Parliament’. Under current standing orders, the respective House committees may consider any matter relating to the provision of facilities in Parliament House referred to it by that Chamber or its Presiding Officer.

Membership of the Joint House Committee at 30 June 2014 was:

- Senator the Hon. John Hogg (Chair)
- The Hon. Bronwyn Bishop MP
- Mr Russell Broadbent MP
- Senator David Bushby
- Senator the Hon. Jacinta Collins
- Ms Jill Hall MP
- Mr Chris Hayes MP
- Senator Helen Kroger
- Senator Gavin Marshall
- Senator Anne McEwen
- Mr Ken O’Dowd MP
- Senator Stephen Parry
- Ms Joanne Ryan MP
- The Hon. Phillip Ruddock MP

The committee met twice in 2013–14 and considered a range of issues, including:

- Parliament House maintenance, asset replacement and strategic accommodation review
- DPS' budget
- contracts, licences and retail services
- security arrangements.

### **Joint Standing Committee on the Parliamentary Library**

Information about the role and functions of the Joint Standing Committee on the Parliamentary Library, including its terms of reference, can be found under the heading 'Joint Standing Committee on the Parliamentary Library' in Part 4 of this report.

### **Art Advisory Committee**

**Chairs:** Presiding Officers

**Members:** Deputy President, Deputy Speaker, Secretary DPS

The Art Advisory Committee assists the Presiding Officers in selecting artworks for the Parliament House Art Collection.

Committee meetings are attended by an independent art adviser from the National Gallery of Australia. The committee's terms of reference are to:

- provide guidance on the Rotational Collection Acquisition Policy, and set short-term priorities for acquisitions
- assess acquisition proposals in accordance with the acquisition policy and priorities
- provide advice on other matters relating to the display and management of artworks in the collection as considered necessary by the Presiding Officers.

The committee met once during 2013–14. Matters considered included:

- the purchase of 11 works of art including two works by the late Margaret Olley (details about the 11 works can be found in Part 3 of this report)
- acceptance of the 10 photographic images commissioned to celebrate the 25th anniversary of Parliament House (details about the commission can be found at Part 3 of this report)
- revised acquisition arrangements and a collecting strategy for 2014–15.

### **Parliamentary Information and Communication Technology Advisory Board**

**Chair:** Secretary DPS

**Members:** One representative each from: the Government, Opposition, minor party/independent; Department of the Senate; Department of the House of Representatives; Parliamentary Budget Office; Parliamentary Service Commissioner. In addition, two non-member senior executive service (SES) officers from DPS attend meetings.

The Parliamentary Information and Communication Technology Advisory Board was established from a recommendation of the Roche report *Review of information and communication technology for the Parliament* (2012). Its role is to oversee the

development and progress of the parliamentary ICT strategic plan and to provide guidance to the DPS Chief Information Officer on strategic objectives and outcomes.

The board met twice in 2013–14. Matters considered included:

- the annual ICT work program to deliver key elements of the *Parliament of Australia ICT Strategic Plan 2013–2018*
- progress and direction of signature projects demonstrating commitment to the delivery of the outcomes identified in the Parliament of Australia ICT Strategic Plan
- ICT security matters in the parliamentary context
- annual ICT benchmarking results.

### **Security Management Board**

**Chair:** Secretary DPS

**Members:** Serjeant-at-Arms, Usher of the Black Rod

The function of the Security Management Board is to provide specialist security advice and support to the Presiding Officers on security policy and the management of security measures for Parliament House. The board was formally established in 2005 under section 65A of the *Parliamentary Service Act 1999*.

### **Heritage Advisory Board**

**Chair:** Secretary DPS

**Members:** Serjeant-at-Arms, Usher of the Black Rod

During its term, the board was assisted in its deliberations by nominated employees from the National Capital Authority and the Commonwealth Department of the Environment.

The Parliament House Heritage Advisory Board was established by the Presiding Officers on 23 November 2011. The primary function of the board was to provide advice to the Presiding Officers on the heritage management of Parliament House.

The board met eight times during 2013–14. Its key areas of focus were:

- the development of a Conservation Management Plan for Parliament House and the preparation of a companion document on Parliament House *Design Principles*
- the identification and assessment of objects of potential heritage value held by the chamber departments.

In early March 2014, the Presiding Officers noted the achievements of the board to date and determined that its work was substantially complete. The final meeting of the board was held on 12 June 2014. An expert advisory panel will remain in place, providing specialist guidance for the duration of the preparation of the Conservation Management Plan and the *Design Principles*. The panel comprises cultural heritage management experts Mr Peter Watts AM and Major-General Steve Gower AO AO (Mil), architectural experts Mr Richard Thorp and Mr Keith Cottier AM, and landscape architectural expert Ms Oi Choong.

## Departmental governance

### Senior executive

The names of the senior executive and their responsibilities are detailed in Part 2 of this report.

### Departmental committees

Under the *Parliamentary Service Act 1999* and the *Financial Management and Accountability Act 1997*, the Secretary is accountable for DPS' performance and compliance. The Secretary is assisted in the management of these responsibilities by the Executive Committee and the Audit Committee.

#### Executive Committee

**Chair:** Secretary DPS

**Members:** Parliamentary Librarian, and division heads

The Executive Committee considers the development and implementation of the DPS governance framework and associated processes, including financial planning and budgeting, performance, risk management, business planning and organisation issues. The committee meets twice a month.

#### Audit Committee

**Chair:** Independent external chair

**Members:** Independent external member, three departmental representatives

The DPS Audit Committee provides independent assurance and assistance to the Secretary on DPS' financial and performance reporting responsibilities, system of risk oversight and system of internal control.

In 2013–14, two independent members served on the committee: Mr Michael Harris (Chair) and Mr Darren Box. Three DPS officials served as management appointees to the committee: Dr Dianne Heriot, Ms Eija Seittenranta and Ms Karen Greening.

Representatives of the Australian National Audit Office and the Department's contracted internal auditors KPMG attend DPS Audit Committee meetings to provide information and advice to committee members.

The committee meets once each quarter and holds an additional meeting to consider the Department's financial statements. Table 1 shows the attendance figures for 2013–14.

**Table 1: Audit Committee attendance 2013–14**

Member	Meeting attendance	
	Attended	Number of meetings
Mr Michael Harris—Chair	5	5
Mr Darren Box	5	5
Dr Dianne Heriot	4	5
Ms Eija Seittenranta	5	5
Ms Karen Greening	5	5

## Corporate planning

DPS' planning framework reflects the way in which its internal planning, processes and accountability are influenced by external entities, stakeholders and legislation.

Central to DPS' planning framework is the DPS Corporate Plan (Figure 15) which sets out the Department's mission statement, priorities, indicators of success and key result areas. The key result areas are:

- Accessibility—Physical and virtual access to the Parliament
- Informed and engaged—Information and communication to support the Parliament and connect with the wider community
- Effective as a custodian—Parliament's assets are cared for and respected
- Respected—Our people and the services they provide are valued
- Forward-looking—We are innovative and adaptive.

These result areas are underpinned by the 'Signposts of our success' which are specific goals and objectives. Divisions and branches develop business plans detailing how they will contribute to the goals. These key documents are linked to individual performance agreements which clearly articulate expectations of staff and the way in which they contribute to achieving DPS' goals.

As 2013–14 drew to a close it was pleasing to note that DPS had either achieved or made good progress against each goal detailed in the corporate plan.

During the year, staff at all levels from all sections of the Department participated in workshops and meetings to contribute their ideas and perspectives, identify challenges and opportunities, and develop key themes to be used in the planning documents for 2015–17.

## Internal audit

Due to the significant budgetary constraints facing the Department in 2013–14, DPS was forced to curtail its annual internal audit program.

In 2013–14, DPS completed two internal audits, one on contracting and managing contracts and the other on IT support services. A third audit, on internal budget management and reporting, was commenced but finalisation was deferred pending the appointment of an ongoing Chief Financial Officer.

## Risk management

DPS has a variety of mechanisms in place to assist managers and staff identify, monitor, report on and manage key risks, including environmental, financial, people, business, project, insurable, business continuity and fraud risks.

A substantial review of strategic risks was initiated in early 2014. The Department's risk management policy and framework, as well as the fraud control policy, are being reviewed against the enhanced risk obligations contained in the *Public Governance, Performance and Accountability Act 2013*.



## General business risk

DPS promotes risk management throughout the organisation to ensure its services to Parliament House, building occupants and visitors are of the highest standard. The DPS risk management framework is consistent with the Australian and New Zealand Risk Management Standard ISO31000:2009.

The Department conducts risk assessments as part of business and project planning based on sensitivity and complexity. The Strategy and Performance Branch supports DPS staff in managing business and project risks.

## Comcover Risk Management Benchmarking Survey

DPS participated in the Comcover 2014 Risk Management Benchmarking Survey which measured Commonwealth and parliamentary departments' risk management capability maturity levels in 10 elements. DPS achieved an overall maturity rating of 'Top-Down' out of a possible five ratings: (1) Informal (lowest), (2) Basic, (3) Top-Down, (4) Structured and (5) Risk Intelligent (highest). A detailed description of the risk management capability levels is available in the Comcover Risk Management Benchmarking Survey 2013 on the Department of Finance website.

DPS achieved its best scores in the following risk management capability elements:

- Element 1 – Risk Management Policy and Objectives
- Element 8 – Risk Assessment
- Element 5 – Positive Risk Culture.

The areas of improvement identified in the survey included:

- Element 10 – Business Continuity and Disaster Recovery
- Element 6 – Resourcing
- Element 9 – Risk Profiling and Reporting.

## Fraud prevention and control

DPS has a fraud control plan that complies with the *Commonwealth Fraud Control Guidelines 2011*. The plan establishes the framework for detecting, reporting and investigating fraud within the Department. DPS regularly reviews its fraud prevention and control measures with a view to continuous improvement. Fraud control arrangements, together with the risk management policy and framework, are currently under review in line with the new *Public Governance, Performance and Accountability Act 2013*.

The Secretary's certification that appropriate fraud measures are in place forms part of her Letter of Transmittal.

**Figure 15** Department of Parliamentary Services Corporate Plan 2012–14

<p>We support the work of Parliament, maintain Parliament House as a symbol of Australian democracy, and make the building, and the important activity that takes place within it, accessible and engaging.</p>					
<p><b>Accessible</b></p> <p>Physical and virtual access to the Parliament</p>	<p><b>Informed and engaged</b></p> <p>Information and communication to support the Parliament and connect with the wider community</p>	<p><b>Effective as a custodian</b></p> <p>Parliament's assets are cared for and respected</p>	<p><b>Respected</b></p> <p>Our people and the services they provide are valued</p>	<p><b>Forward-looking</b></p> <p>We are innovative and adaptive</p>	
<ul style="list-style-type: none"> <li>• Occupant, visitor and community satisfaction with access, supporting people with special needs</li> <li>• Occupants and visitors are safe</li> <li>• Activities to promote occupant and visitor well-being are effective</li> <li>• Effective infrastructure and services for virtual access</li> <li>• Activities to promote the Parliament are effective</li> <li>• Our services and information are accessible</li> </ul>	<ul style="list-style-type: none"> <li>• Strong understanding of information and communication needs</li> <li>• Information and advice is timely, accurate, useful and valued</li> <li>• Enabling effective communication in the Parliament</li> <li>• Maximise existing and available technology</li> </ul>	<ul style="list-style-type: none"> <li>• The traditional owners of this land are shown respect</li> <li>• Parliament House and its assets are maintained and preserved</li> <li>• The functional and heritage intent of the building is maintained</li> <li>• Parliament's information is captured, preserved and available</li> <li>• Assets management meets community expectations</li> </ul>	<ul style="list-style-type: none"> <li>• A service provider and employer of choice</li> <li>• Recognised as ethical and transparent in our decision-making</li> <li>• High levels of satisfaction about our services</li> <li>• Recognised as being focused on service delivery</li> <li>• Sharing corporate knowledge to make informed decisions</li> </ul>	<ul style="list-style-type: none"> <li>• Collaboration with other organisations in delivering services</li> <li>• Our workforce has the skills, flexibility and ability to create and adopt innovations</li> <li>• Our services remain relevant</li> <li>• Timely adoption of appropriate new and emerging technologies and practices</li> <li>• Our plans reflect emerging opportunities, challenges and risk</li> </ul>	

**Mission** Our key results

**Signposts of our success**

We will deliver	
<ul style="list-style-type: none"> <li>● a strong culture of customer-focus</li> <li>● a strong DPS brand</li> <li>● a sound workforce planning framework</li> <li>● accurate and reliable corporate information systems</li> <li>● a strategic approach to ICT</li> <li>● a comprehensive approach to heritage management</li> <li>● quality assurance processes for all our products and services</li> </ul>	<ul style="list-style-type: none"> <li>● simple and accessible ways for customers to deal with DPS</li> <li>● robust customer and staff feedback mechanisms</li> <li>● a comprehensive approach to customer and community engagement</li> <li>● an holistic approach to providing a satisfying visitor experience</li> <li>● services that accommodate parliamentarians' requirement to be mobile</li> <li>● a strategic capital works program that delivers quality outcomes</li> <li>● a comprehensive approach to environmental management</li> <li>● a maintenance program that will enhance infrastructure reliability</li> </ul>
How we work as a department to achieve our results	
We consult, listen and adapt to continuously improve our services	We respect each other and value diversity
We strive for excellence and are fair, ethical and accountable in all our dealings	We foster an environment that rewards forward-thinking and creativity
We share responsibility for achieving results and managing resources effectively	We share responsibility for achieving results and managing resources effectively

### Our priorities

## Ethical standards and behaviours

DPS is committed to maintaining the highest standards of integrity, good governance and ethical practices as required by the Parliamentary Service Values and Parliamentary Service Code of Conduct.

During 2013–14, DPS undertook a number of initiatives to reinforce the requirement for the proper use of Commonwealth resources and demonstrate its commitment to ethical and lawful behaviour as outlined in the *Parliamentary Service Act 1999*. These included:

- developing a DPS Public Interest Disclosure policy and procedures following the introduction of the *Public Interest Disclosure Act 2013*
- updating Human Resource Delegations
- updating the DPS Workplace Diversity Policy
- updating the DPS Bullying and Harassment Policy
- updating the DPS Drug and Alcohol Policy
- developing a new probation policy
- establishing a working group to develop a DPS capability development framework.

## Inappropriate behaviour

DPS takes allegations of inappropriate behaviour seriously and investigates these allegations for potential breaches of the Parliamentary Service Code of Conduct. In 2013–14, twelve allegations were investigated. Of the twelve, six were found to be breaches of the code of conduct. As a result, two employees were fined and reprimanded, one employee was reprimanded and demoted to a lower classification and three employees had their employment with DPS terminated.

Four of the allegations received in 2013–14 related to bullying and harassment and were investigated under the code. In addition, a further nine complaints were resolved using Human Resources (HR) processes and did not result in a code investigation.

## Public Interest Disclosure Act 2013

The Commonwealth's new *Public Interest Disclosure Act 2013* (PID Act) took effect on 15 January 2014. The PID Act promotes integrity and accountability in the Australian public sector by encouraging the disclosure of information about suspected wrongdoing, protecting people who make disclosures and requiring agencies to take action.

In February 2014, the Department provided two all-staff information sessions about the PID Act presented by a senior staff member from the office of the Commonwealth Ombudsman.

Three DPS staff members have been trained as Authorising Officers to handle public interest disclosures. The new PID procedures have been incorporated into the Parliamentary Services Values and Code of Conduct training.

## Revisions to the Parliamentary Service Values and Code of Conduct

On 1 July 2013, revisions to the *Parliamentary Service Act 1999* and Determinations took effect. Since then, HR policies have been revised to reflect the changes, particularly in relation to Parliamentary Service values, employment principles and the code of conduct.

Articles promoting the revised values and code were published in the DPS newsletter, and a code of conduct bookmark developed in collaboration with the other parliamentary departments. The bookmark was distributed to all employees and is now included in induction packs.

## Business continuity management

In order to ensure continuity of services to its clients, DPS has identified 20 critical services that are listed under the following three major areas of impact:

- (a) services to the Parliament
- (b) services relating to the building
- (c) services to support DPS activities.

Each has a plan that identifies what arrangements will be put in place in the event of an interruption to business.

The high-level business continuity management plan outlines the arrangements for dealing with an incident or incidents that affect the ability of DPS to provide normal services, and is available to all staff via the DPS intranet.

## External scrutiny

DPS is subject to external scrutiny by various bodies including the Australian National Audit Office and various parliamentary committees.

## Judicial decisions, decisions of administrative tribunals and decisions by the Australian Information Commissioner

During 2013–14, there were no judicial or administrative tribunal decisions relating to DPS.

## Freedom of information

DPS is not subject to the *Freedom of Information Act 1982* (FOI Act), and therefore does not have an Information Publication Scheme. However, DPS has an administrative ‘information access’ policy. Under the policy, DPS responds where it can to requests for information, within the spirit of the FOI Act.

## Reports on the operations of the Department

### Australian National Audit Office (ANAO) Audits

During 2013–14, DPS was the subject of an external compliance audit by the ANAO in relation to its financial statements for the period ending 30 June 2013, and an interim audit in preparation for the 2013–14 financial statements audit. The audit on the 2012–13 financial statements was unqualified.

In March 2014, the ANAO commenced a performance audit to assess the effectiveness of the Department's management of assets and contracts to support the operations of Parliament House. The audit is expected to be tabled in early 2015.

There were no other ANAO reports during 2013–14 that directly involved DPS.

### Parliamentary committees

DPS appeared before Senate Finance and Public Administration Legislation Committee Estimates hearings on three occasions during 2013–14:

- Supplementary Budget Estimates—18 November 2013
- Additional Estimates—24 February 2014
- Budget Estimates—26 May 2014.

On 18 June 2014, the Senate referred the Department to the Senate Committee of Privileges for inquiry and report on the use of closed circuit television footage by DPS officers for internal investigations involving departmental staff. Terms of reference and other details about the inquiry can be found on the APH website.

On 26 June 2014, the Senate referred the Department to the Finance and Public Administration Legislation Committee for inquiry and report on the progress of the implementation of the findings of the Inquiry into the Performance of the Department of Parliamentary Services tabled in November 2012, and other matters, by the seventh sitting day in March 2015. In September 2014, DPS submitted a progress report to the committee which is available on the APH website.

### Office of the Merit Protection Commissioner

Two applications for review were made to the Office of the Merit Protection Commissioner. Of these, one matter lapsed when the employee resigned from the parliamentary service and the other is still under consideration.

### Fair Work Ombudsman

No matters were referred to the Fair Work Ombudsman for review.

### Fair Work Commission

Four matters were referred to the Fair Work Commission for review. Of these, one matter has been finalised and three are still under consideration.

## Management of human resources

DPS' organisational transformation program continued in 2013–14. A significant component of this was the creation of the Building and Asset Management Division to further strengthen the Department's capability to strategically manage the building and its heritage.

Other activities to build capability included:

- a review of the roles and responsibilities of all senior executive service positions
- capability reviews in the areas of procurement and finance, strategy and performance and building management
- the development of a Corporate Culture and Capability Development Framework
- the development of a new 'e-recruit' system to streamline the recruitment process
- the formation of a working group to develop a new Performance Management Framework. The group consisted of representatives from all work areas of DPS who developed a draft framework which is currently under consideration
- two audits of DPS' Work Health and Safety Management System and one audit of its Rehabilitation Management System
- a review by Comcare of DPS' progress against 11 recommendations made in a bullying prevention audit in 2011 — Comcare made no further recommendations during the review and did not exercise any formal powers under the *Work Health and Safety Act 2011*
- Code of Conduct training for SES officers to reaffirm awareness about the role and duties of sanction delegates
- development of a Bullying and Harassment Policy and new Code of Conduct and Public Interest Disclosure Act procedures.

### Workforce planning, staff retention and turnover

#### DPS workforce composition

The DPS workforce headcount figure reduced by 10 employees during 2013–14. At 30 June 2014, there were 822 employees compared with 832 at June 2013. Of these, 793 employees were in their nominal (substantive) positions, and 29 were in acting positions.

Of the 822 employees, 701 were ongoing (85 per cent) and 121 were non-ongoing (15 per cent). Of the 121 non-ongoing employees, 83 were engaged in irregular or intermittent duties while 38 were engaged for a specified term. These arrangements are best suited to support the irregular nature of parliamentary sitting patterns.

In 2013–14, 62 per cent of the DPS workforce were male and 38 per cent were female. The figures remained largely unchanged from the previous two years. Tables 3 and 4 show the staffing headcount by classification as at 30 June for 2012–13 and 2013–14 respectively.

**Table 33: Staffing headcount by classification at 30 June 2013<sup>1</sup>**

Classification	Ongoing Full Time		Ongoing Part Time		Ongoing Sessional		Non-ongoing Full Time		Non-ongoing Part Time		Non-ongoing Sessional		Non-ongoing Casual		Total
	F	M	F	M	F	M	F	M	F	M	F	M	F	M	
Apprentice 1/2 <sup>2</sup>						1									1
PSL1	1	9											7	4	21
PSL1/2 <sup>2</sup>	8	68		1	6	26								29	138
PSL1/2/3 <sup>2</sup>		4													4
PSL2	12	15	13	6	6	2		1			3		3	6	68
PSL2/3 <sup>2</sup>		28						1		1					30
PSL3	14	26	4				1						14	6	65
PSL4	26	47	6	3	1	1	2	3	1				4	8	102
PSL4/5 <sup>2</sup>	5	5	2						1						13
PSL5	10	35	5	1	2			1					1		55
PSL5/6 <sup>2</sup>	18	11	11	2	7	4							3		56
PSL6	23	57	6	3	2		3	2			1		4		101
PEL1	40	55	12	3			3	3	1	2				1	120
PEL2	19	23	1					2						1	46
SES 1	5	3					1								9
SES 2	1														1
Parliamentary Librarian	1														1
Secretary	1														1
<b>Total</b>	<b>184</b>	<b>386</b>	<b>60</b>	<b>19</b>	<b>24</b>	<b>33</b>	<b>10</b>	<b>14</b>	<b>2</b>	<b>4</b>	<b>2</b>	<b>3</b>	<b>36</b>	<b>55</b>	<b>832</b>

<sup>1</sup> Figures include both nominal and acting employees.

<sup>2</sup> Indicates a broadbanded position. Under the *Parliamentary Service Classification Rules 2010*, the Secretary may allocate more than one classification (a broadband) to a group of duties if the group of duties involves work value requirements applying to more than one classification.



**Table 34: Staffing headcount by classification at 30 June 2014<sup>1</sup>**

Classification	Ongoing Full Time		Ongoing Part Time		Ongoing Seasonal		Non-Ongoing Full Time		Non-Ongoing Part Time		Non-Ongoing Seasonal		Non-Ongoing Casual		Total		
	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	Total
Apprentice 1/2 <sup>2</sup>																	1
PSL1/2 <sup>2</sup>	6	73			7	24								2	26	15	123
PSL1/2/3 <sup>2</sup>		4		1													5
PSL2/3 <sup>2</sup>		26															26
PSL4/5 <sup>2</sup>	4	9	2				1	1								7	17
PSL5/6 <sup>2</sup>	14	8	11		8	2					3	3	2			38	51
PSL1		8							1				7	2	8	10	18
PSL2	9	15	10	6	6	1		1			1	1	4	4	30	28	58
PSL3	13	24	3					1					11	10	27	35	62
PSL4	22	47	6	2	1	1	4	2					3	6	36	58	94
PSL5	16	36	3				1	3					1		21	39	60
PSL6	28	59	7	4			1	1					4		40	64	104
PEL1	38	66	13	3			4	4	2	1				1	57	75	132
PEL2	20	20	2				1								23	20	43
SES 1	4	5													4	5	9
SES 2	1	1													1	1	2
Parliamentary Librarian	1														1		1
Secretary	1														1		1
<b>Total</b>	<b>177</b>	<b>401</b>	<b>57</b>	<b>16</b>	<b>22</b>	<b>28</b>	<b>12</b>	<b>14</b>	<b>3</b>	<b>1</b>	<b>4</b>	<b>4</b>	<b>34</b>	<b>49</b>	<b>309</b>	<b>513</b>	<b>822</b>

<sup>1</sup> Figures include both acting and nominal employees.

<sup>2</sup> Indicates a broadbanded position. Under the *Parliamentary Service Classification Rules 2010*, the Secretary may allocate more than one classification (a broadband) to a group of duties if the group of duties involves work value requirements applying to more than one classification.

## Employee separations

During 2013–14, there were 150 employee separations (18.2 per cent of the workforce—an increase on 112 separations in 2012–13 (13.5 per cent of the workforce). There were 43 separations as a result of the end of temporary contracts and temporary transfers, particularly in the Content Management Branch and the Parliamentary Library, contributing significantly to the increased separation rate. This was caused by a mix of completion of work requirements and budgetary constraints.

The highest number of separations were attributable to employee initiated resignations, of which there were 41. Three employees resigned prior to turning 55 to take advantage of the ‘54 years, 11 months’ superannuation incentive. Additionally, capability reviews and subsequent structural realignment resulted in 24 voluntary redundancies.

Employment terminations increased to 3 per cent from 1 per cent in the previous year, while transfer promotions decreased to 9 per cent from 13 per cent in 2012–13. Age retirements decreased to 13 per cent from 14 per cent last year.

Table 35 shows employee separation by age and gender, while Table 36 shows staff turnover and separation figures by type.

**Table 35: Employee separation by age and gender**

Age group	Female	Male	Total	Percentage
< 25 years	10	3	13	8.7%
25–34 years	12	13	25	16.7%
35–44 years	12	22	34	22.7%
45–54 years	13	11	24	16.0%
55+ years	24	30	54	36.0%
<b>Total</b>	<b>71</b>	<b>79</b>	<b>150</b>	

Note: Due to rounding, the total percentage figure will not add up to 100%.

**Table 36: Staff turnover and separation figures by type**

	2011–12	2012–13	2013–14
Staff numbers	848	832	822
Staff separations (total)	133	112	150
Turnover	15.7%	13.5%	18.2%
<b>Separations by type</b>			
Age retirements	25	17	19
Invalidity retirements	2	1	2
Resignations	37	26	41
Transfers/promotions	18	14	14
Voluntary redundancy retirements	23	18	24
Involuntary retirements	0	0	1
Employment terminations	0	1	5
Death	1	0	1
End of temporary contract	27	34	41
End of temporary transfer	0	1	2

## Employee commencements

During 2013–14, a total of 140 new employees commenced work at DPS—an increase of 5.5 per cent on 2012–13. The commencement of 12 of these employees was due to changes in administrative arrangements including:

- the transfer of Electorate Office ICT provision and support to DPS resulting in the commencement of five employees
- the transfer of DPS' payroll administration from the Department of the House of Representatives to DPS resulting in the commencement of five employees
- the transfer of the Auspic photography service from the Department of Finance resulting in the commencement of two employees.

Table 37 shows the employee commencement figures since 2011–12 while Table 38 shows a breakdown of commencements by age and gender for 2013–14.

**Table 37: Employee commencement figures**

	2011–12	2012–13	2013–14
Commencements	136	96	140
Commencement rate	16%	11.5%	17%

**Table 38: Commencements by age and gender 2013–14**

Age group	Female	Male	Total
<25 years	8	3	11
25–34 years	11	26	37
35–44 years	14	20	34
45–54 years	18	14	32
55+ years	10	16	26
<b>Total</b>	<b>61</b>	<b>79</b>	<b>140</b>

## Remuneration framework

### Enterprise agreements and individual flexibility arrangements

The *DPS Enterprise Agreement 2011–2014* sets out its classification structures, performance management framework, remuneration, flexible working conditions, leave, consultative arrangements, and other working conditions and allowances.

The agreement has a nominal expiry date of 30 June 2014. The terms and conditions in the agreement will remain in force until a new agreement is formally approved. The Department is currently developing a bargaining position prior to the commencement of the formal bargaining process.

The enterprise agreement allows the Department to provide individual flexibility agreements to employees to recognise particular skills, capabilities or additional responsibilities or to help meet special workplace circumstances and/or operational requirements. At 30 June 2014, eight DPS employees had these agreements in place.

No employee is covered by a common law contract. One employee was on an Australian Workplace Agreement that ceased during the reporting period.

DPS' classification scale is divided into Parliamentary Service Levels (PSL) 1–6, Parliamentary Executive Levels (PEL) 1 and 2 and Senior Executive Service Bands 1 and 2. The PSL1–6 levels equate approximately to Australian Public Service (APS) levels 1–6, while Parliamentary Executive Levels 1 and 2 equate approximately to Executive Levels 1 and 2 in the APS. Table 9 shows the number of employees covered by industrial instruments.

**Table 39: Number of DPS employees covered by industrial instruments at 30 June 2014**

	DPS Enterprise Agreement 2011–14	Section 24 determinations	Individual flexibility agreement
PSL1	18		
PSL1/2 <sup>1</sup>	140		
PSL1/2/3 <sup>1</sup>	5		
PSL2	59		
PSL2/3 <sup>1</sup>	27		
PSL3	57		
PSL4	95		
PSL4/5 <sup>1</sup>	16		
PSL5	59		
PSL5/6 <sup>1</sup>	51		
PSL6	106		
PEL1	132		
PEL2	44		8
SES Band 1		9	
SES Band 2		2	

<sup>1</sup>Indicates a broadbanded position. Under the *Parliamentary Service Classification Rules 2010*, the Secretary may allocate more than one classification (a broadband) to a group of duties if the group of duties involves work value requirements applying to more than one classification.

### Remuneration for senior executive service

Senior executive service (SES) employees are subject to individual section 24(1) determinations under the *Parliamentary Service Act 1999*. These determinations cover remuneration, performance management, leave and a range of other employment conditions. The level of remuneration and, in some instances, the conditions attached to remuneration, varies. Remuneration is based on a ‘total remuneration’ approach. Total remuneration comprises base salary, superannuation and vehicle if applicable.

DPS has one SES employee whose remuneration consists of a base salary under a section 24 determination.

Generally, salary increases provided to SES employees are assessed through the SES performance management arrangements. Table 10 shows base salary and total remuneration for SES. Note: DPS has no employees at the SES Band 3 level.

**Table 40: Senior executive service remuneration at 30 June 2014**

SES Level	Base salary	Total remuneration package
Band 1	\$155,750–\$179,510	\$206,420 – \$233,580
Band 2	See footnote <sup>1</sup>	\$256,000 – \$296,960

<sup>1</sup> A more detailed breakdown cannot be provided as individual employees may be identified.

The remuneration of the Secretary and the Parliamentary Librarian is set by the Presiding Officers after consultation with the Remuneration Tribunal.

## Remuneration for non-SES staff

For non-SES staff, salary advancement is based on performance assessment as required by the *DPS Enterprise Agreement 2011–2014*. The agreement provides for salary advancement within a salary range subject to the achievement of an overall rating of 'effective' or higher through the performance management arrangements. Table 11 shows salary ranges by classification for non-SES staff.

**Table 41: Salary ranges by classification for Parliamentary Service Level (PSL) officers and Parliamentary Executive Level (PEL) officers**

Classification	Salary range
PSL1	\$47,480 – \$55,297
PSL2	\$56,404 – \$60,552
PSL3	\$61,900 – \$64,685
PSL4	\$65,978 – \$71,693
PSL5	\$73,126 – \$78,452
PSL6	\$80,020 – \$89,937
PEL1	\$97,379 – \$111,183
PEL2	\$113,405 – 131,833 (barrier \$134,470 <sup>1</sup> )

<sup>1</sup> PEL2s will only progress beyond the top of the salary range to the barrier where they are rated 'highly effective' or better under the DPS Performance Management Scheme.

## Non salary benefits

Non salary benefits available to all DPS employees include influenza vaccinations and the payment by DPS of membership fees for those wishing to join the Parliament House Health and Recreation Centre. Employees are also able to access the Employee Assistance Scheme at no cost.

## Performance pay

No DPS employee receives a bonus or performance pay.

## Staff development and training

In 2013–14, DPS organised 49 training sessions which were attended by 462 employees.

A particular focus for DPS in 2013–14 was building client service capability to support the commencement of the 44th Parliament. Training sessions were held in preparation for DPS' new client service model comprising a series of workshops for client service officers.

Other noteworthy training and development activities during 2013–14 were:

- an in-house Certificate IV in Government (Procurement and Contracting) for 11 employees following an audit of the Department's procurement processes and a review of contract management capability

- delegate sanction training for all SES officers as a result of changes to the *Parliamentary Service Act 1999*, the Parliamentary Service Values and Code of Conduct
- Public Interest Disclosure (PID) workshops in advance of the introduction of the *Public Interest Disclosure Act 2013*, presented by a senior officer from the Office of the Commonwealth Ombudsman
- PID Authorising Officer training conducted by the Attorney-General's Department
- employee responsibility compliance training on a variety of topics including work health and safety, Parliamentary Service Values, Code of Conduct, fraud and ethics, and records management.

### Workplace relations

The DPS Consultative Forum, consisting of management, staff and union representatives, met four times during 2013–14. The objectives of the forum are to promote good workplace relations, improve mutual understanding between management and staff, and to provide a forum for consultation and open discussion aimed at resolving different points of view in a mutually acceptable manner.

The forum discussed a range of matters during the year including absenteeism, performance management, terms and conditions of employment, capability reviews and work health and safety issues.

In addition to chairing the consultative forum, the Secretary meets individually with all unions which represent DPS staff on a quarterly basis.

## DPS develops a CIT accredited training course

DPS has developed a Parliament House-specific Certificate III in Security Operations enabling the Department to deliver key training in-house.

The course, which has received accreditation from the Canberra Institute of Technology (CIT), was designed to provide developing team leaders in the Security Branch with the skills needed to perform their role. In developing the course, Director of Security Capability Claire Harvey created a logical framework of topics and content and engaged current team leaders as subject matter experts to assist in content development.

The curriculum was then mapped to CIT's Certificate III in Security Operations course to ensure it aligned. Following this, a contract was drawn up between DPS and CIT Solutions to allow the qualification to be awarded.

The course comprises five modules: communications, administration, personnel management, managing staff development and security-specific training including risk planning and management, defensive tactics, powers and authorisations, and coordinating visits by dignitaries and delegations. The face-to-face training was reinforced by on-the-job training and experience and simulated job-specific assessments.

In May 2014, a group of nine DPS security officers became the first graduates to receive the qualification.



Chief Executive Officer CIT Solutions, Adrian Marron, Secretary of DPS, Carol Mills, and Director Security Capability, Claire Harvey with the first graduates of a Parliament House-specific Certificate III in Security Operations.



## Work health and safety

### Work health and safety improvements to Parliament House

In 2013–14, DPS received additional administered funding to address a range of height safety issues in Parliament House for both visitors and staff working in, and around, the building. The funding was used to purchase mobile plant and equipment to provide safer access for maintenance purposes, and the design and installation of fall prevention and protection equipment such as fixed ladders, staircases, platforms and handrails.

Work has continued on improving accessibility for people with disability following the provision of additional administered funding in 2012–13. This included improving the design of the central walkway in the public car park and installing additional assistive listening devices in committee rooms and the Great Hall.

DPS conducted a large number of risk assessments across Parliament House in 2013–14. These included a noise risk assessment in the Loading Dock, chemical safety risk assessments, and plant and equipment safety risk assessments. Where a requirement for additional risk controls was identified, for example, the need for a particular type of training or personal protective equipment, these controls were implemented.

### Consultation on WHS issues

DPS maintains a high level of consultation on Work Health and Safety (WHS) issues. Staff are represented in formal joint management–worker health and safety committees that monitor and advise on WHS programs.

The DPS peak WHS Committee met four times during the year. The committee focuses on reviewing WHS policies and procedures and taking a strategic approach to WHS management across DPS. Individual branches hold their own WHS committee meetings on a quarterly basis.

The DPS Contractors' WHS Subcommittee met four times. This forum provides a valuable mechanism to address WHS issues related to the work performed by the large number of contractors at Parliament House.

A key component of DPS' management of health and safety is its network of health and safety representatives (HSRs), deputy HSRs and harassment contact officers (HCOs). DPS has 21 HSRs and deputies and 20 trained HCOs.

### WHS training

A range of WHS-related training was provided to staff throughout the year, including generic induction and refresher sessions for staff and managers. Approximately 150 security officers participated in WHS awareness training as part of their annual revalidation training program.

Occupation-specific WHS training was also provided, including:

- first aid
- working in confined spaces

- working at heights
- manual handling (for example, lifting and handling of objects)
- plant and equipment use
- construction industry white card training
- licences for forklifts and elevated work platforms
- defensive tactics.

### WHS auditing

In 2013–14, DPS continued to undergo six-monthly surveillance audits of its WHS management system. An external audit confirmed that DPS continued to comply with the requirements of the SafetyMAP Initial Level auditing tool. DPS has continued to maintain certification to Joint Accreditation System of Australia and New Zealand standards since its initial certification in November 2009.

In November 2013, DPS underwent its first Rehabilitation Management System (RMS) Audit. These audits became a requirement for Commonwealth agencies after Comcare revised its *Rehabilitation Handbook* in 2012. DPS performed well, and has implemented the report's recommendations which focus mainly on improvements to rehabilitation policies and procedures. DPS subsequently reviewed and improved the procedures relating to rehabilitation, early intervention, independent medical examinations and invalidity retirement/partial invalidity pensions.

### Incident reporting and investigation

A total of 79 incident reports were submitted by DPS employees during 2013–14. Two incidents were notified to Comcare in accordance with Section 35 of the *Work Health and Safety Act 2011* (WHS Act). Both incidents were examined by DPS and remedial action was taken where necessary. Comcare did not formally investigate either incident.

There were no Provisional Improvement Notices issued under section 90 of the WHS Act and no notices or enforceable undertakings were issued under Parts 10 or 11 of the WHS Act.

### Productivity gains

Two notable areas of productivity gain in 2013–14 were in the Parliamentary Library and in human resource management.

A review of subject indexing in the Parliamentary Library was conducted in 2013–14. The review focused on improving the automated selection and subject indexing of newspaper clippings by the Library Authoring System and Thesaurus (LAST). Recommendations derived from the review aimed to improve the way the existing technology was configured and to streamline the work practices of the indexing team to ensure the section moved forward in a cost effective and efficient manner.

Since the recommendations of the review were adopted, there has been a significant improvement in the indexing team's productivity. The average newspaper indexing clippings rate has increased from 17 to 25 clips per hour—a 47 per cent improvement.

As a result, the overall amount of staff time spent processing and checking the newspaper clippings database for content has decreased by 31 per cent.

In January 2014, DPS payroll functions, previously contracted to the Department of the House of Representatives with funding from DPS, were brought back in-house resulting in a saving for DPS.

Centralising requests for workstation assessment and related equipment under HR Services has provided greater efficiency in managing both the assessment process and equipment supply. This year DPS adopted a self-assessment checklist for staff as part of a risk-managed approach to workstation assessment.

## Asset management

The Department manages departmental and administered property, plant and equipment and intangible assets with a net book value of \$2,316.4 million (2012–13: \$2,329.5 million). Administered assets of \$2,225.9 million (2012–13: \$2,226.1 million) primarily relate to Parliament House incorporating the building, land and heritage and cultural assets. Departmental assets of \$90.5 million (2012–13: \$103.4 million) primarily relate to security infrastructure, information technology and communication assets.

The Department manages asset replacements through an annual capital plan. The Department monitors the management of this capital plan on a regular basis to ensure that the planned expenditure reflects the Department's business requirements.

The Department undertakes annual stocktake, impairment and revaluation reviews, which are used to update and verify the accuracy of asset records and to review the condition and ongoing utility of assets. The outcomes of the reviews are considered by the Australian National Audit Office as part of their assessment of the annual financial statements.

## Purchasing

The purchasing of property and services by DPS during 2013–14 was conducted and managed in accordance with the Commonwealth Procurement Rules and DPS Chief Executive's Instructions and supporting procedures. DPS' primary purchasing objectives are to:

- ensure the principle of value for money is consistently obtained through:
  - encouraging competition
  - promoting efficient, effective, economical and ethical use of resources
  - conducting its business in an environment of accountability and transparency
- support the business requirements of each branch within the Department through a focus on better-practice procurement
- involve small-to-medium enterprises wherever practicable.

A central procurement unit within DPS supports effective procurement processes across the Department.

## Supply Nation

In 2013–14, DPS became a member of Supply Nation—an organisation which aims to ensure that small to medium Indigenous businesses have the opportunity to be integrated into the supply chains of Australian companies and government agencies. Supply Nation members are able to access certified Indigenous businesses qualified to deliver competitive, innovative products and services.

## Australian Disability Enterprises

During the year, DPS supported Australian Disability Enterprises with the purchase of lanyards and name badges from Latrobe Valley Enterprises—a not-for-profit company that provides employment opportunities for people with disability.

## Competitive tendering and contracting

During 2013–14, DPS did not conduct any competitive tendering or contracting processes that involved contracting out to another organisation the delivery of government activities previously performed by this Department.

# Consultants

DPS classifies consultants as individuals, partnerships or corporations engaged to provide professional, independent and expert advice or services to the Department. DPS engages consultants where there is a need for independent research or assessment, or where specialised or professional skills not available in-house are required.

During 2013–14, DPS engaged 41 new consultants under contract to a total actual expenditure of \$2,449,842 (GST inclusive). In addition, six ongoing consultancy contracts were active during the 2013–14 year, involving total actual expenditure of \$142,408 (GST inclusive).

These consultants were engaged by DPS via approaches to the market and through DPS' access to consultancy panels and multi-use lists established by other departments for:

- information and communication technology (ICT)
- legal services
- human resources.

Of the consultants contracted by DPS during 2013–14, the largest group (24 per cent) were engaged to provide strategic planning. A further 15 per cent were engaged to provide security related advice and assistance, 15 per cent for financial and audit services, 15 per cent for heritage and conservation management advice and 9 per cent related to ICT services.

The remainder related to miscellaneous investigations and business management services to DPS.

Information on the values, services and periods for consultancy contracts is available on the AusTender website [www.tenders.gov.au](http://www.tenders.gov.au).

## **Australian National Audit Office access clauses**

All DPS contracts allow access for audit purposes.

### **Exempt contracts**

During 2013–14, the Secretary did not exempt any DPS contracts or standing offers from publication via AusTender on the basis that they would disclose exempt matters under the *Freedom of Information Act 1982*.

