



**Australian Government**  
**Australian Public Service Commission**

# 2014 State of the Service Agency Survey

10 June to 25 July 2014

## AGENCY HEAD CERTIFICATION

Your agency head should complete the following details after approving your agency's response to this survey. The completed page should be received by the Australian Public Service Commission by close of business **Friday 25 July 2014** (please see instructions on page 3).

*I am satisfied that the information provided in this survey is complete and accurate, to the best of my knowledge.*

Signature:.....

Name of agency head:.....

Name of agency:.....

Date:.....

## INTRODUCTION

### What is the purpose of this survey?

The agency survey is a census of all Australian Public Service (APS) agencies with at least 20 employees, and is conducted as part of the information collection process for the State of the Service Report 2013–14. The Australian Public Service Commissioner has a statutory obligation to report to parliament on the state of the APS each year. Section 44(3) of the *Public Service Act 1999* states that an agency head must give the Commissioner whatever information the Commissioner requires for the purpose of preparing the State of the Service report.

The information collected through the agency survey will also be used to inform human capital strategies and for other research and evaluation purposes.

Results from the 2014 APS employee census will be used to complement the information gathered through this survey of agencies.

### Who should complete the survey?

One person (such as the Agency Contact Officer) should take responsibility for coordinating input to the survey from the relevant areas of your agency that are responsible for the issues examined in the survey. Once your agency has completed the survey, a copy of the survey and your agency's responses can be printed out so that your agency head can verify the completeness and accuracy of the survey responses by filling in the certification box on the front page of the survey.

### How should the survey be completed?

Your agency's responses must be submitted online. The online survey can be accessed through the State of the Service agency survey portal at <https://www.orima.com.au/apsc> using your agency's identification and password that have been provided via email to your Agency Contact Officer. Please read the instructions carefully once you login to the online survey. Different sections of the survey can be completed by different users at the same time. However, only one user should access any one section of the survey at any time.

It is suggested that you use the PDF or Word versions of this survey to assess what information needs to be gathered and collated before you begin the process of entering your responses into the online version of the survey. You may also find it helpful to complete the survey on a paper copy of the PDF or Word versions, and then enter your responses into the online form as each section is completed.

As you complete each section, you should mark it as 'approved' and enter the relevant contact information for that section using the 'Approve Each Section' page on the portal. This contact information is primarily intended to assist your agency in its internal checking and authorisation processes.

When the responses have been cleared by your agency head and the certification box has been signed, you should lock your agency's responses using the button on the 'Agency Head Certification' page on the portal.

ORIMA Research will download agency responses from the online database following the end of the main fieldwork period (COB Friday 25 July 2014).

### What if we need to clarify or qualify our answers?

General comment boxes have been provided at the end of each section of the survey. The comment boxes can be used to provide comments, clarifications and/or qualifications on any of the questions in that section.



### Will actions my agency has taken but not yet completed be recognised?

Throughout this survey, allowance has been made for instances where agencies are in the process of implementing new systems or processes or changing existing arrangements. This means that agencies should only indicate that they have measures or processes in place if they are currently operational and being used by staff. The following table provides guidance on how agencies should interpret the possible survey responses.

Response	Interpretation
Yes—whole agency	Measure or process is currently in place and operational across your <b>whole</b> agency
Yes—part agency	Measure or process is currently in place and operational in <b>part of</b> your agency
Being developed	A firm decision has been taken to implement the measure or process <b>and</b> action is underway to implement within the <b>next 12 months</b>
No	The measure or process is not currently in place or being developed within the agency (as defined above)

### Should I answer ‘Yes—whole agency’ if only part of my agency has a measure or process in place?

In the current APS environment, some functions such as learning and development are devolved to line areas within agencies and it is possible that some line areas may have measures or processes in place while others do not. You should answer ‘Yes—whole agency’ if your entire agency has a measure or process in place, or ‘Yes—part agency’ if only part of your agency has a measure or process in place.

For example, the survey might ask whether your agency used online training in 2013–14 as a means of promoting awareness among employees about how they can report misconduct. In Agency X, 4 of its 12 business units may have used online training to promote awareness but the remaining 8 did not. In this situation, Agency X would answer ‘Yes—part agency’ because only part of the agency used online training.

### What confidentiality and security measures are in place?

Agencies’ survey results will be used as a key information source for the State of the Service Report 2013–14 and agency level data or information may be included in the report or in related evaluations on specific issues raised by the report.

The online survey responses are stored in a secure password-protected environment. The State of the Service report is subject to parliamentary scrutiny.

### What happens after my agency takes part in the survey?

The collated survey responses will be sent by ORIMA Research to the Commission to inform the State of the Service Report 2013–14. You may be contacted after you have taken part in the survey for clarification of your responses.

### When is the survey due?

Please submit the survey online by COB Friday 25 July 2014. Prior to this, you will need to ensure that your agency head has completed and signed the certification box on the cover page of the survey.

Please email (after scanning) to [stateoftheservice@apsc.gov.au](mailto:stateoftheservice@apsc.gov.au) or fax the completed and signed agency head certification to Marie Rowles on (02) 6250 4997.

## How should copies of documents be provided as requested in some questions?

Some of the questions in the survey will ask your agency to provide copies of particular documents. You can either:

- upload relevant documents using the upload facility on the agency survey portal (preferred method)
- send an email with the documents as electronic attachments (use screen shots for web pages) to [stateoftheservice@apsc.gov.au](mailto:stateoftheservice@apsc.gov.au) or
- send hard copies of the documents to the following address:

State of the Service Team  
Australian Public Service Commission  
Level 6, 16 Furzer Street  
PHILLIP ACT 2606

## Who do I talk to for further information?

If you have any queries relating to this survey, please contact Chris Sadler from ORIMA Research at [chris.sadler@orima.com](mailto:chris.sadler@orima.com) or 1800 806 950.

If you have any general enquiries about the State of the Service report or the survey process, please contact Angie Sturrock at [angela.sturrock@apsc.gov.au](mailto:angela.sturrock@apsc.gov.au) or (02) 6202 3716 at the Commission.



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## A. APS VALUES

1. Which of the following did your agency use during 2013–14 to embed the APS Values?

	Yes— whole agency	Yes— part agency	Being Developed	No
a. The agency's strategic plan and operational/business plans reflect the APS Values	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
b. Internal agency communications strategies support and reinforce the APS Values	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
c. On-boarding and other learning and development activities incorporate 'how to live' the APS Values, including how to make good value-based decisions	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
d. APS Values are built into agency governance practices	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
e. Performance management frameworks take into account the way in which employees uphold the APS Values	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
f. Modeling of APS Values is formally incorporated into leader performance assessments	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
g. APS Values are clearly reflected in agency management policies and procedures including employment policies	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
h. Reward and recognition schemes reinforce and promote APS Values	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
i. Agency strategies exist that identify areas of risk in upholding APS Values and APS Code of Conduct	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
j. Agency has processes that ensure transparency of decision-making including appropriate record keeping	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4



**Comment Box A: APS Values**

Agency	APS Value	Comment
1	0.1	
2	0.1	
3	0.1	
4	0.1	
5	0.1	
6	0.1	
7	0.1	
8	0.1	
9	0.1	
10	0.1	
11	0.1	
12	0.1	
13	0.1	
14	0.1	
15	0.1	
16	0.1	
17	0.1	
18	0.1	
19	0.1	
20	0.1	
21	0.1	
22	0.1	
23	0.1	
24	0.1	
25	0.1	
26	0.1	
27	0.1	
28	0.1	
29	0.1	
30	0.1	
31	0.1	
32	0.1	
33	0.1	
34	0.1	
35	0.1	
36	0.1	
37	0.1	
38	0.1	
39	0.1	
40	0.1	
41	0.1	
42	0.1	
43	0.1	
44	0.1	
45	0.1	
46	0.1	
47	0.1	
48	0.1	
49	0.1	
50	0.1	

## B. INTEGRITY SYSTEMS

2. Which of the following strategies did your agency use during 2013–14 to manage integrity risk?

	Yes—all positions	Yes—high risk positions	No
a. Pre-employment screening	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
b. Integrity or character assessments during employment, or at change of role	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
c. Regular one-on-one discussions with employees about integrity risk matters	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
d. Regular ethics training	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
e. Training for managers about managing integrity risk	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
f. Drug or alcohol testing	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
g. Contact register for reporting of private associations that may conflict with an employee's role	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
h. Application of declaration of conflict of interest policies to non-SES employees	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
i. Outside employment policies	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
j. Gifts and benefits policies and reporting requirements	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
k. Programme of staff rotation	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
l. Advice to staff about the outcomes of misconduct or integrity investigations	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3
m. Other <b>[Please specify]</b> ..... .....	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3

3. Briefly describe the strategies that were most effective in improving your agency's ability to manage integrity risk:

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## C. APS CODE OF CONDUCT

4. How many employees in your agency were the subject of an investigation into a suspected breach of the APS Code of Conduct that was finalised in 2013–14? **Note. Please report only those investigations conducted in accordance with your agency's procedures under section 15(3) of the Public Service Act 1999. Do not include enquiries that did not proceed to an investigation using those procedures.**

..... [If '0' skip to next section]

5. Of the investigations finalised in 2013–14, for each element of the APS Code of Conduct in the table below, please indicate how many employees were investigated for a suspected breach, and how many were found to have breached:

Elements of Code of Conduct	Number of employees	
	Investigated	Breached
a. Behave honestly and with integrity in connection with APS employment (s. 13(1))		
b. Act with care and diligence in connection with APS employment (s. 13(2))		
c. When acting in connection with APS employment, treat everyone with respect and courtesy, and without harassment (s. 13(3))		
d. When acting in connection with APS employment, comply with all applicable Australian laws (s. 13(4))		
e. Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction (s. 13(5))		
f. Maintain appropriate confidentiality about dealings that the employee has with any Minister or Minister's member of staff (s. 13(6))		
g. Disclose, and take reasonable steps to avoid, any conflict of interest (real or apparent) in connection with APS employment (s. 13(7))		
h. Use Commonwealth resources in a proper manner (s. 13(8))		
i. Not provide false or misleading information in response to a request for information that is made for official purposes in connection with the employee's APS employment (s. 13(9))		
j. Not make improper use of: inside information, or the employee's duties, status, power or authority, in order to gain, or seek to gain, a benefit or advantage for the employee or for any other person (s. 13(10))		
k. At all times behave in a way that upholds the APS Values and APS Employment Principles, and the integrity and good reputation of the employee's Agency and the APS (s. 13(11))		
l. While on duty overseas, at all times behave in a way that upholds the good reputation of Australia (s. 13(12))		
m. Comply with any other conduct requirement that is prescribed by the regulations (s. 13(13))		



6. How many of the employees reported in question 4 were investigated as a result of:

	Number of employees
a. A Public Interest Disclosure	
b. A report made to a central conduct or ethics unit or nominated person in a human resources area	
c. A report made to an employee advice or counselling unit	
d. A report made to a fraud prevention and control unit or hotline	
e. A report made to another hotline	
f. A report made to an email reporting address	
g. A report generated by a compliance/monitoring system (e.g. audit)	
h. Other <b>[Please specify]</b> ..... .....	

7. How many of the employees who were investigated for a suspected breach of the APS Code of Conduct in question 4 had the following outcomes: **[Note: The total number for this question should add up to the number provided in question 4.]**

	Number
a. Breach found and sanction applied	
b. Breach found no sanction applied—employee resigned prior to sanction decision	
c. Breach found no sanction applied—other reason	
d. No breach found (for any element of the Code)	
e. Investigation discontinued—employee resigned	
f. Investigation discontinued—other reason <b>[Please specify]</b> ..... .....	

8. Of the employees in question 7a (Breach found and sanction applied), how many were given each of the following sanctions: **[Note: An employee can be counted against more than one sanction.]**

	Number of employees
a. Termination of employment	
b. Reduction in classification	
c. Re-assignment of duties	
d. Reduction in salary	
e. Deductions from salary by way of a fine	
f. Reprimand	





## D. REVIEWS OF ACTION

12. How many applications for primary review of employment actions under section 33 of the *Public Service Act 1999* did your agency finalise in 2013–14?

.....

### Comment Box D: Reviews of Action

## E. AGENCY CAPABILITY

This section relates to agency capabilities that are important in preparing the APS to meet the challenges of the future.

*You may wish to involve your senior executives at an early stage to complete this section.*

13. What does your agency define as productivity in your business context?

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14. Does your agency have a framework in place to measure productivity?

- 1 Yes—whole agency **[Please provide any relevant documentation related to this framework]**
- 2 Yes—part agency **[Please provide any relevant documentation related to this framework]**
- 3 Being developed
- 4 No

15. In what ways does your agency report on agency productivity?

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16. What mechanisms, if any, did your agency put in place in 2013–14 to build a culture of **personal accountability**?

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**Government deregulation agenda**

17. The Government's red tape reduction programme (part of the government's pre-election commitment policy *Boosting Productivity and Reducing Regulation*) seeks to achieve substantial savings through red tape reductions. As part of implementing this, the government requires agencies to include in SES performance agreements a criterion providing for quantified reductions in red tape. Has your agency included a criterion on quantified reductions in red tape in SES performance agreements?

- 1 Yes—for all SES employees **[Please provide copies of internal guidance relating to implementing these arrangements]**
- 2 Yes—only for SES employees who have direct responsibility for regulation/deregulation **[Please provide copies of internal guidance relating to implementing these arrangements]**
- 3 Being developed
- 4 No

18. Please briefly describe the initiatives to reduce red tape that have been implemented or were planned within your agency in 2013–14:

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**Digital transition**

19. What steps did your agency take during 2013–14 to implement the digital transition policy<sup>3</sup> and move toward comprehensive digital information management? **[Please select all that apply]**

- 1 Implemented strategies to achieve 2015 target<sup>4</sup>
- 2 Addressed areas of weakness from your agency's check-up self-assessment
- 3 Implemented business processes that are fully digital resulting in no paper records being created
- 4 Other **[Please specify]** .....
- 5 No steps taken—no plans to move toward digital information management
- 6 No steps taken—policy already implemented and agency is fully digital

**Stakeholder engagement**

20. Did your agency undertake action to improve stakeholder engagement in 2013–14?

- 1 Action is underway to improve this capability
- 2 Have plans to take action to improve this capability in the next 12 months **[Please go to question 22]**
- 3 Will investigate options for improving this capability in the next 12 months **[Please go to question 22]**
- 4 May investigate options for improving this capability **[Please go to question 22]**
- 5 No action is necessary **[Please go to question 22]**

<sup>3</sup> See <http://www.naa.gov.au/records-management/digital-transition-policy/> for further information.

<sup>4</sup> See <http://www.naa.gov.au/records-management/digital-transition-policy/> for further information.

21. Please provide up to three examples of action your agency undertook in 2013–14 to improve stakeholder engagement.

- i) .....
- ii) .....
- iii) .....

22. Has your agency identified any barriers to improving stakeholder engagement?

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**Strategic Planning**

23. Did your agency undertake action to improve strategic planning in 2013–14?

- 1 Action is underway to improve this capability
- 2 Have plans to take action to improve this capability in the next 12 months  
**[Please go to question 25]**
- 3 Will investigate options for improving this capability in the next 12 months  
**[Please go to question 25]**
- 4 May investigate options for improving this capability **[Please go to question 25]**
- 5 No action is necessary **[Please go to question 25]**

24. Please provide up to three examples of action your agency undertook in 2013–14 to improve strategic planning.

- i) .....
- ii) .....
- iii) .....

25. Has your agency identified any barriers to improving strategic planning?

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**Internal resource allocation**

26. Did your agency undertake action to improve internal resource allocation in 2013–14?
- 1 Action is underway to improve this capability
  - 2 Have plans to take action to improve this capability in the next 12 months  
**[Please go to question 28]**
  - 3 Will investigate options for improving this capability in the next 12 months  
**[Please go to question 28]**
  - 4 May investigate options for improving this capability **[Please go to question 28]**
  - 5 No action is necessary **[Please go to question 28]**

27. Please provide up to three examples of action your agency undertook in 2013–14 to improve internal resource allocation.

- i) .....
- ii) .....
- iii) .....

28. Has your agency identified any barriers to improving resource allocation?

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**Decision-making delegation**

29. Did your agency undertake action to improve decision-making delegation in 2013–14?
- 1 Action is underway to improve this capability
  - 2 Have plans to take action to improve this capability in the next 12 months  
**[Please go to question 31]**
  - 3 Will investigate options for improving this capability in the next 12 months  
**[Please go to question 31]**
  - 4 May investigate options for improving this capability **[Please go to question 31]**
  - 5 No action is necessary **[Please go to question 31]**

30. Please provide up to three examples of action your agency undertook in 2013–14 to improve decision-making delegation.

- i) .....
- ii) .....
- iii) .....

31. Has your agency identified any barriers to improving decision-making delegation?

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**Risk management**

32. Did your agency undertake action to improve risk management in 2013–14?

- 1 Action is underway to improve this capability
- 2 Have plans to take action to improve this capability in the next 12 months  
**[Please go to question 34]**
- 3 Will investigate options for improving this capability in the next 12 months  
**[Please go to question 34]**
- 4 May investigate options for improving this capability **[Please go to question 34]**
- 5 No action is necessary **[Please go to question 34]**

33. Please provide up to three examples of action your agency undertook in 2013–14 to improve risk management.

- i) .....
- ii) .....
- iii) .....

34. Has your agency identified any barriers to improving risk management?

.....  
.....  
.....  
.....

**Change management**

35. Did your agency undertake action to improve change management in 2013–14?

- 1 Action is underway to improve this capability
- 2 Have plans to take action to improve this capability in the next 12 months  
**[Please go to question 37]**
- 3 Will investigate options for improving this capability in the next 12 months  
**[Please go to question 37]**
- 4 May investigate options for improving this capability **[Please go to question 37]**
- 5 No action is necessary **[Please go to question 37]**



36. Please provide up to three examples of action your agency undertook in 2013–14 to improve change management.

- i) .....
- ii) .....
- iii) .....

37. Has your agency identified any barriers to improving change management?

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.....

**Workforce planning**

38. Did your agency undertake action to improve workforce planning in 2013–14?

- 1 Action is underway to improve this capability
- 2 Have plans to take action to improve this capability in the next 12 months **[Please go to question 40]**
- 3 Will investigate options for improving this capability in the next 12 months **[Please go to question 40]**
- 4 May investigate options for improving this capability **[Please go to question 40]**
- 5 No action is necessary **[Please go to question 40]**

39. Please provide up to three examples of action your agency undertook in 2013–14 to improve workforce planning.

- i) .....
- ii) .....
- iii) .....

40. Has your agency identified any barriers to improving workforce planning?

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.....  
.....  
.....

**Staff performance management**

41. Did your agency undertake action to improve staff performance management in 2013–14?
- 1 Action is underway to improve this capability
  - 2 Have plans to take action to improve this capability in the next 12 months  
**[Please go to question 43]**
  - 3 Will investigate options for improving this capability in the next 12 months  
**[Please go to question 43]**
  - 4 May investigate options for improving this capability **[Please go to question 43]**
  - 5 No action is necessary **[Please go to question 43]**
42. Please provide up to three examples of action your agency undertook in 2013–14 to improve staff performance management.
- i) .....
  - ii) .....
  - iii) .....

43. Has your agency identified any barriers to improving staff performance management?
- .....
- .....
- .....
- .....
- .....

**Agency alignment**

44. Please briefly describe up to three key mechanisms your agency used in 2013–14 to support **alignment of agency business with stakeholder needs.**
- i) .....
  - ii) .....
  - iii) .....
45. Please briefly describe up to three key mechanisms your agency used in 2013–14 to support **alignment and vision across business units at all levels.**
- i) .....
  - ii) .....
  - iii) .....



This year's State of the Service report will include a number of case studies to highlight key themes and concepts within the report. Case studies will be included in the report based on how well they illustrate the key theme or concept under discussion.

It should be noted, provision of a case study to the Australian Public Service Commission does not guarantee its inclusion in the report. A compendium of all case studies received, however, will be published on the Commission's SOSR Exchange website ([www.apsc.gov.au/sosr-exchange](http://www.apsc.gov.au/sosr-exchange)) post the tabling of the State of the Service report on 1 December 2014.

46. Does your agency have a case study related to agency capability that you would like to highlight in the State of the Service report?

1 Yes

2 No **[Please skip to next section]**

47. Please include a brief description and the details of a relevant point of contact for this case study. The Commission will follow up with this contact post the agency survey and during the preparation of the State of the Service report. Thank you.

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**Comment Box E: Agency Capability**

## F. OPEN GOVERNMENT

48. Did your agency provide any guidance material for employees in 2013–14 on the use of social media and networking tools? **[Please select all that apply]**
- 1 Yes—technical guidance on how to use social media and networking tools
  - 2 Yes—guidance on how to represent yourself online (e.g. consistent with the APS Values and APS Code of Conduct) when using social media and networking tools **for work purposes**
  - 3 Yes—guidance on how to represent yourself online (e.g. consistent with the APS Values and APS Code of Conduct) when using social media and networking tools **in a professional capacity for non-job related purposes** (e.g. in forums where participants call on their professional expertise in areas such as management, engineering or science.)
  - 4 Yes—guidance on how to represent yourself online (e.g. consistent with the APS Values and APS Code of Conduct) when using social media and networking tools **for other personal or home use** (not including professional network participation)
  - 5 Yes—as part of more general information technology guidance
  - 6 Being developed
  - 7 No
49. Did your agency provide any formal training to employees in 2013–14 on the use of social media and networking tools for work purposes?
- 1 Yes—whole agency
  - 2 Yes—part agency
  - 3 Being developed
  - 4 No
  - 5 NA—employees do not have access to social media and networking tools in the workplace
50. How many Freedom of Information (FOI) requests did your agency receive in 2013–14? **[Please enter the number of requests—enter '0' if none received]**
- .....
- This year's State of the Service report will include a number of case studies to highlight key themes and concepts within the report. Case studies will be included in the report based on how well they illustrate the key theme or concept under discussion.
- It should be noted, provision of a case study to the Australian Public Service Commission does not guarantee its inclusion in the report. A compendium of all case studies received, however, will be published on the Commission's SOSR Exchange website ([www.apsc.gov.au/sosr-exchange](http://www.apsc.gov.au/sosr-exchange)) post the tabling of the State of the Service report on 1 December 2014.
51. Does your agency have a case study related to open government that you would like to highlight in the State of the Service report?
- 1 Yes
  - 2 No **[Please skip to next section]**





## G. WORKPLACE DIVERSITY

53. Did your agency have a workplace diversity programme in place during 2013–14?
- 1 Yes—whole agency
  - 2 Yes—part agency
  - 3 Being developed **[Please go to question 55]**
  - 4 No **[Please go to question 55]**
54. Is your agency's workplace diversity programme published on your agency's external website?
- 1 Yes
  - 2 No
55. What methods did your agency use to improve employee disclosure of diversity status in 2013–14?  
**[Please select all that apply]**
- 1 Modified the agency's human resource system
  - 2 Directly encouraged employees to update their diversity status on the agency's human resource system **[Please specify how many times employees were encouraged to update]** .....
  - 3 Enlisted managers to encourage employees to update their diversity status on the agency's human resource system
  - 4 Promoted the value of employee disclosure of diversity status
  - 5 Clarified definitions of diversity to employees
  - 6 Other **[Please specify]** .....  
.....
  - 7 None of the above
56. During 2013–14, how many Indigenous Australians **applied for positions** within your agency?  
.....
57. During 2013–14, how many people with disability **applied for positions** within your agency?  
.....

### Employment of Indigenous Australians

58. Did your agency have a formal Indigenous Employment Strategy (IES)<sup>5</sup> in place during 2013–14?
- 1 Yes—whole agency **[Please provide a copy]**
  - 2 Yes—part agency **[Please provide a copy]**
  - 3 Being developed **[Please go to question 60]**
  - 4 No **[Please go to question 60]**
59. Is your agency's IES published on your agency's external website?
- 1 Yes
  - 2 No

<sup>5</sup> An Indigenous Employment Strategy focuses on the agency and asks what it is doing to improve the way it employs and retains Indigenous Australians. Its emphasis is internal i.e. what workplace environment, recruitment and retention issues are affecting Indigenous employees in this agency.

60. In 2013–14 were your agency’s Indigenous employment practices incorporated into:  
**[Please select all that apply]**

- 1 Reconciliation Action Plan<sup>6</sup>
- 2 Workplace diversity programme
- 3 Other document(s) **[Please specify]** .....
- 4 Not incorporated into any documents

61. During 2013–14, did your agency use any of the following measures to recruit and/or retain Indigenous Australians?

	Yes— whole agency	Yes— part agency	Being Developed	No	Not applicable (no Indigenous employees)
a. Special measures <sup>7</sup> employment	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
b. Identified positions <sup>8</sup>	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
c. Advertising employment opportunities in Indigenous media (e.g. print, radio)	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
d. Participating in the Australian Public Service Commission’s Pathways whole of government Indigenous recruitment initiatives for entry level, cadet and graduate recruits	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
e. Operating an internal agency-based Indigenous employee network	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
f. Providing culturally specific training programmes for Indigenous employees	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
g. Providing targeted leadership development opportunities	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
h. Providing mentoring and/or coaching to Indigenous employees	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
i. Providing mobility and/or secondment opportunities into mainstream positions	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
j. Encouraging staff to participate in cultural events (e.g. Reconciliation Week, National Aboriginal and Islander Day Observance Committee [NAIDOC] Week etc.)	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
k. Other recruitment and/or retention strategies	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5

<sup>6</sup> A Reconciliation Action Plan (RAP) is a tool to help agencies build positive relationships between Indigenous and non-Indigenous Australians. A RAP represents a framework for identifying specific actions and realistic targets to contribute to the improvement of the lives of Indigenous Australians in a wider sense, rather than solely at the agency business level.

<sup>7</sup> Public Service Commissioner’s Directions 4.2, 4.3 and 4.6A allow agency heads to limit specified employment opportunities to Indigenous applicants within the framework provided by Commonwealth discrimination legislation.

<sup>8</sup> Agency heads can create positions that require an understanding of Indigenous culture and issues faced by Indigenous Australians, and the ability to deal effectively and sensitively with these issues. While it is likely that these positions will be occupied by Indigenous Australians, recruitment is on the basis of merit and is not confined to Indigenous Australians.



62. Does your agency offer Indigenous cultural awareness training to employees?

- 1 Yes
- 2 No

63. Does your agency have an internal policy in place that requires active consideration of the engagement of Indigenous-owned businesses (e.g. using the relevant Commonwealth Procurement Rules Exemption No. 17)?

- 1 Yes—whole agency
- 2 Yes—part agency
- 3 Being developed
- 4 No

64. During 2013–14, did your agency engage any Indigenous-owned businesses?

- 1 Yes—data on these engagements was centrally collected **[Please go to question 65]**
- 2 Yes—data on these engagements was not centrally collected **[Please go to question 66]**
- 3 No **[Please go to question 67]**

65. Please complete the table below in relation to the Indigenous-owned businesses engaged by your agency in 2013–14: **[After completing the table below, please go to question 67]**

	Supplier name	Nature of goods/services	Value of contract
i)			
ii)			
iii)			
iv)			
v)			
vi)			
vii)			
viii)			
ix)			
x)			

66. Please provide any detail you can about the nature (and scale) of the goods/services for which Indigenous-owned businesses were engaged:

.....

.....

.....

.....

.....

67. Is your agency a member of any Indigenous business directories and/or organisations?

- 1 Yes **[Please specify which directories and/or organisations]**  
.....
- 2 No **[Please go to question 69]**

68. Please specify the number, and total value, of contracts sourced through these memberships in 2013–14:

Contracts.....  
 Total value.....

**Employment of people with disability**

69. Did your agency have a formal strategy in place (e.g. a Disability Action Plan) for the employment of people with disability during 2013–14?

- 1 Yes—whole agency
- 2 Yes—part agency
- 3 Being developed
- 4 No

70. During 2013–14, did your agency use any of the following measures to promote the employment of people with disability:

	Yes— whole agency	Yes— part agency	Being Developed	No	Not applicable (no employees with disability)
a. Provided opportunities for people with disability to gain skills and experience under an agency-based employment scheme	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
b. Identified a SES employee to act as a senior level advocate for employees with disability	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
c. Provided a documented and clear process for employees with disability to request reasonable adjustments	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
d. Operated an agency network for employees with disability	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
e. Agreed to participate in the RecruitAbility Scheme trial	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
f. Other	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5

71. Which of the following strategies did your agency use in 2013–14 to promote to internal stakeholders the business case for employing people with disability?

**[Please select all that apply]**

- 1 Awareness raising through training programmes
- 2 Information on the intranet
- 3 Use of promotional material (e.g. pamphlets)
- 4 Formal speeches
- 5 Other
- 6 No strategies used



72. During 2013–14, did your agency apply the RecruitAbility scheme to any advertised vacancies?

- 1 Yes [Please specify the number of vacancies] .....
- 2 No

73. Which of the following covered the cost of any reasonable adjustments in 2013–14?

- 1 Central budget
- 2 Unit level budget
- 3 JobAccess—employment assistance fund
- 4 Other
- 5 Not applicable—no reasonable adjustments required

74. Does your agency offer disability awareness (including mental illness) programmes to employees?

	Mandatory	Voluntary	Being Developed	No
a. Yes—for all employees	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
b. Yes—for employees new to the agency	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
c. Yes—other [Please specify which group(s) of employees undertake these programmes] ..... .....	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4

75. Did your agency employ any people with disability through a disability employment service provider on an ongoing basis during 2013–14?

- 1 Yes [Please specify the number] .....
- 2 No
- 3 Data not collected

76. Did your agency employ any people with disability through a disability employment service provider on a non-ongoing basis during 2013–14?

- 1 Yes [Please specify the number] .....
- 2 No
- 3 Data not collected

77. Did your agency employ any people with disability through a disability employment service provider under clause 4.3A of the Australian Public Service Commissioner's Directions during 2013–14?

- 1 Yes [Please specify the number] .....
- 2 No
- 3 Data not collected

78. Did your agency employ any people with an intellectual disability through special employment measures under clause 2.16 of the Australian Public Service Commissioner's Directions during 2013–14?

- 1 Yes [Please specify the number] .....
- 2 No
- 3 Data not collected

**Women in leadership**

79. Please indicate the number of men and women in your agency's senior leadership group, irrespective of their classification level (excluding EA and other support staff):

Level	Male	Female
a. Agency head		
b. Direct report to agency head		
c. Direct reports to those who report directly to the agency head		

**Comment box G: Workplace Diversity**



## H. PERFORMANCE MANAGEMENT

80. Did your agency have the following measures in place in 2013–14 to assist in implementing its performance management system?

	Yes—whole agency	Yes—part agency	Being developed	No
a. A formal performance appraisal process that is documented and conducted periodically	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
b. A performance culture where managers and staff engage in regular feedback and discussion on an informal basis	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
c. Multi-source feedback for managers	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
d. A clear statement of performance expectations derived through discussion with staff	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
e. Performance appraisals which include key role accountabilities and performance indicators	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
f. Measures that encourage the active management of high performance and talent among employees	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
g. Processes that encourage the active management of underperforming staff	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
h. Support and assistance for line managers to develop skills in performance management	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
i. Individualised learning and development plans	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
j. Linkages between performance assessment and salary progression	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
k. A performance bonus scheme for individuals	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
l. Review and reward of groups/teams as well as individuals	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
m. A reward and recognition system that is <b>not</b> linked to financial rewards	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
n. A process to help ensure consistency in assessment	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
o. Periodic evaluation of the performance management system	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
p. Training for staff in receiving feedback	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
q. Training for managers in providing feedback, specifically when managing underperforming staff	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
r. Other	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4

81. Did your agency have the following mechanisms in place during 2013–14 to ensure line managers implement the agency’s performance management systems?

	Yes—whole agency	Yes—part agency	Being developed	No
a. A defined timeline for the completion of agreement phases	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
b. Key performance indicators relating to performance management included in line managers’ performance agreements	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
c. Agency-wide performance indicators relating to performance management included in more senior managers’ performance agreements	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
d. Managers rewarded for superior staff management skills	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
e. Managers with a need to improve their staff management skills identified and assistance provided	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
f. Compliance with agency performance management directives tested (e.g. in staff surveys)	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
g. An electronic system (i.e. computer based performance management system)	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4
h. Other <b>[Please specify]</b> ..... .....	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4

82. Is your agency’s performance appraisal process linked to any of the following functions?

**[Please select all that apply]**

- 1 Outcomes sought by government
- 2 Agency operational or strategic planning (short or long term)
- 3 Agency learning and development activity planning
- 4 Work unit planning
- 5 Succession planning
- 6 Identification of skill imbalances across agency
- 7 Identification and management of high performers
- 8 Identification and management of low performers
- 9 Development of talent management strategies
- 10 Development of underperformance management strategies
- 11 Other
- 12 None of the above



83. Please briefly describe how your agency identifies and/or rewards good performance:

.....

.....

.....

.....

.....

84. During 2013–14, were **all** of your agency's employees<sup>9</sup> required to have a formal performance agreement?

- 1 Yes
- 2 No

**Management of underperformance**

85. Which of the following measures did your agency have in place in 2013–14 to assist in managing any underperformance? **[Please select all that apply]**

- 1 An agency-designed programme or system
- 2 Step-by-step instructions or templates to guide managers
- 3 Training of managers
- 4 Coaching or case management services to assist managers
- 5 Agency guidance on strategies managers can use to foster performance improvement
- 6 Short-term objectives for underperforming individuals
- 7 Other
- 8 None of the above

86. During 2013–14, how many employees in your agency were placed on a formal underperformance process? **[Please specify the number of employees]**

.....

87. During 2013–14, how many formal underperformance processes were finalised? **[Please specify the number of processes]**

.....

<sup>9</sup> Employees here refer to the relevant number of people employed directly by your agency during 2013–14.

<u>INCLUDE</u>	<u>EXCLUDE</u>
Full-time and part-time ongoing employees paid through payroll.	Non-ongoing staff engaged for duties that are irregular or intermittent.
Full-time and part-time non-ongoing employees paid through payroll who are engaged for a specified term or for the duration of a specified task.	Workers paid through a third party.

88. How many of the employees who were the subject of a finalised underperformance process reported in question 87, had the following outcome?

Type of outcome	Number of employees
a. Termination of employment	
b. Reduction in classification	
c. Deferral of pay progression	
d. Re-assignment of duties	
e. Process successful; performance improved to acceptable standard	
f. Other <b>[Please specify]</b> .....	

89. What mechanisms did your agency put in place in 2013–14 to build a culture of **performance management**?

.....

.....

.....

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.....

90. Please describe up to three steps taken by your agency in 2013–14 to improve the skills of managers in **giving and receiving feedback**:

- i) .....
- ii) .....
- iii) .....

91. Please describe up to three steps taken by your agency in 2013–14 to improve the skills of managers in **developing performance agreements**:

- i) .....
- ii) .....
- iii) .....



92. Please describe up to three steps taken by your agency in 2013–14 to improve the skills of managers in **structuring work** (structuring work is an APS core skill, for example, planning and prioritising work, decision-making, resource and time management and risk management):

- i) .....
- ii) .....
- iii) .....

This year's State of the Service report will include a number of case studies to highlight key themes and concepts within the report. Case studies will be included in the report based on how well they illustrate the key theme or concept under discussion.

It should be noted, provision of a case study to the Australian Public Service Commission does not guarantee its inclusion in the report. A compendium of all case studies received, however, will be published on the Commission's SOSR Exchange website ([www.apsc.gov.au/sosr-exchange](http://www.apsc.gov.au/sosr-exchange)) post the tabling of the State of the Service report on 1 December 2014.

93. Does your agency have a case study related to performance management that you would like to highlight in the State of the Service report?

- 1 Yes
- 2 No **[Please skip to next section]**

94. Please include a brief description and the details of a relevant point of contact for this case study. The Commission will follow up with this contact post the agency survey and during the preparation of the State of the Service report. Thank you.

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**Comment Box H: Performance Management**

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## I. WORKFORCE PLANNING

95. How many voluntary redundancies did your agency offer in 2013–14? **[If none, please go to question 98]**

.....

96. How many employees in your agency expressed an interest in accepting an offer of voluntary redundancy in 2013–14?

.....

97. How many voluntary redundancies were accepted by employees in 2013–14?

.....

98. Did your agency have a documented workforce plan for 2013–14?

- 1 Yes—whole agency **[Please provide a copy of your workforce plan]**
- 2 Yes—part agency **[Please provide a copy of your workforce plan]**
- 3 Being developed **[Please go to question 103]**
- 4 No **[Please go to question 103]**

99. Was this your agency's first documented workforce plan?

- 1 Yes
- 2 No

100. What is the timeframe for your agency's workforce plan?

- 1 One year
- 2 Two years
- 3 Three years
- 4 Four or more years

101. How does your agency evaluate the effectiveness of your workforce plan?

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102. Does this workforce plan cover 2014–15?

- 1 Yes **[Please go to question 104]**
- 2 No

103. Is your agency developing a workforce plan for 2014–15?

- 1 Yes
- 2 No



104. Please select up to five of the greatest workforce risks facing your agency in the next five years.

**[Please select up to five options only]**

- 1 Addressing capability gaps due to a reduction in agency size
- 2 Addressing capability gaps due to a changing operating environment
- 3 Inadequate resources for changing business needs
- 4 Dealing with changing business needs due to varying needs of clients
- 5 Skill shortages which impact on agency capability
- 6 Recruiting appropriately skilled people
- 7 Loss of corporate knowledge or talent due to retirement
- 8 Retaining appropriately skilled employees
- 9 Underdeveloped management or leadership capability among middle managers
- 10 Retaining employees with a high potential for succession
- 11 Limited career advancement or mobility opportunities for employees
- 12 Other

105. Which of the following is the greatest challenge experienced by your agency in implementing and/or progressing workforce planning:

- 1 Uncertainty about the future
- 2 Difficulties mapping current capabilities in order to predict future capability requirements
- 3 A lack of workforce planning experience
- 4 Resources, time or cost involved in undertaking the task
- 5 Limitations of the existing human resources management system
- 6 Changes in funding or staffing
- 7 Other **[Please specify]** .....

.....

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106. Does your agency have a case study related to workforce planning that you would like to highlight in the State of the Service report?

- 1 Yes
- 2 No **[Please skip to next section]**

107. Please include a brief description and the details of a relevant point of contact for this case study. The Commission will follow up with this contact post the agency survey and during the preparation of the State of the Service report. Thank you.

.....  
.....  
.....  
.....  
.....

**Comment Box I: Workforce Planning**

[Empty comment box area]



## J. TALENT MANAGEMENT

108. Did your agency have an active talent management strategy in 2013–14? **[Please select all that apply]**

- 1 Yes—for SES only
- 2 Yes—for EL2
- 3 Yes—for other employees **[Please specify]** .....
- 4 Being developed **[Please go to question 110]**
- 5 No **[Please go to question 110]**

109. What was the main purpose of your talent management strategy?

- 1 Building leadership bench strength
- 2 Retaining high potential employees
- 3 Development of high potential employees
- 4 Better understanding of the workforce
- 5 Other

110. Please briefly describe any key skill set gaps identified by your agency at the SES level:

.....

.....

.....

.....

.....

111. Please briefly describe the key challenges your agency faces in developing talent in 2013–14:

.....

.....

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.....

.....

112. Please briefly describe any key strategies employed by your agency to develop talent in 2013–14:

.....

.....

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.....

113. Have talent management practices in your agency changed in the past 3 years?

- 1 Yes—commenced talent management
- 2 Yes—improved existing talent management
- 3 No—already had a mature talent management approach **[Please go to question 115]**
- 4 No—don't do talent management **[Please skip to next section]**
- 5 Other **[Please specify]** .....

114. During 2013–14 did the APSC Strategic Centre for Leadership, Learning and Development's whole-of-APS approach to talent management influence practices in your agency?

**[Please select all that apply]**

- 1 Yes—agency used APSC criteria (performance, ability, aspiration and engagement) to identify talent/high potential
- 2 Yes—agency used/adapted APSC nomination process for talent management
- 3 Yes—agency adopted/adapted APSC talent management principles
- 4 Yes—agency targeted different cohorts than the APSC
- 5 Yes—other **[Please specify]** .....
- 6 No—agency has not been influenced by the APSC approach

This year's State of the Service report will include a number of case studies to highlight key themes and concepts within the report. Case studies will be included in the report based on how well they illustrate the key theme or concept under discussion.

It should be noted, provision of a case study to the Australian Public Service Commission does not guarantee its inclusion in the report. A compendium of all case studies received, however, will be published on the Commission's SOSR Exchange website ([www.apsc.gov.au/sosr-exchange](http://www.apsc.gov.au/sosr-exchange)) post the tabling of the State of the Service report on 1 December 2014.

115. Does your agency have a case study related to talent management that you would like to highlight in the State of the Service report?

- 1 Yes
- 2 No **[Please skip to next section]**

116. Please include a brief description and the details of a relevant point of contact for this case study. The Commission will follow up with this contact post the agency survey and during the preparation of the State of the Service report. Thank you.

.....

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.....

.....

.....



**Comment Box J: Talent Management**

[Empty comment box for Talent Management]

## K. RECRUITMENT AND RETENTION

117. Which of the following did your agency use to measure recruitment performance in 2013–14?

**[Please select all that apply]**

- 1 Time-to-fill statistics (e.g. time to finalise competitive selection exercises or time to fill positions)
- 2 Cost of recruitment activities
- 3 Advertising effectiveness (e.g. numbers of applications received, interviews conducted or suitable candidates achieved)
- 4 Feedback from selection advisory committees
- 5 Feedback from new recruits
- 6 Feedback from line areas and management on the recruitment process
- 7 Feedback from unsuccessful candidates on their satisfaction with the recruitment process (e.g. perceived fairness of the process, feedback received)
- 8 Probation reports on new recruits
- 9 Statistics on recruitment outcomes (e.g. internal/external candidate ratio, retention, turnover of new recruits)
- 10 Evaluation of bulk recruitment rounds
- 11 Feedback from employee surveys (e.g. on attraction factors or recruitment processes)

118. Briefly describe the key impact experienced by your agency of the slowed recruitment environment in the APS in 2013–14:

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.....

.....

.....

119. Did your agency use any strategies in 2013–14 to improve retention?

- 1 Yes—whole agency
- 2 Yes—part agency
- 3 Being developed **[Please go to question 121]**
- 4 No **[Please go to question 121]**



120. If your agency used any of the following retention strategies, please indicate whether these strategies were effective:

	Yes	No	NA
a. Management or leadership training	O 1	O 2	O 3
b. Study assistance	O 1	O 2	O 3
c. Inclusion of flexible work practices in industrial agreements	O 1	O 2	O 3
d. Wellbeing programmes	O 1	O 2	O 3
e. Internal mobility opportunities	O 1	O 2	O 3
f. Retention allowances in industrial agreements	O 1	O 2	O 3
g. Project allowances	O 1	O 2	O 3
h. Provisions for employees in remote locations	O 1	O 2	O 3
i. Performance management system	O 1	O 2	O 3
j. Performance bonuses	O 1	O 2	O 3
k. Other	O 1	O 2	O 3

**Exit interviews/surveys**

121. During 2013–14, did your agency conduct any exit interviews/surveys for employees leaving the agency? **[Please select all that apply]**

- O 1 Yes—exit interviews
- O 2 Yes—agency-specific exit surveys
- O 3 Yes—APS Exit Survey
- O 4 No **[Please go to next section]**

122. When were the exit interviews/surveys undertaken? **[Please select all that apply]**

- O 1 Prior to employees leaving the agency
- O 2 After employees had left the agency

123. Please briefly outline any themes your agency observed in the exit interview/survey data collected (e.g. common reasons why employees were leaving the agency **including any particular differences between diversity groups, genders, classifications or regions**):

.....

.....

.....

.....

.....

**Comment Box K: Recruitment and Retention**

[Empty comment box area]



## L. LEARNING AND DEVELOPMENT

124. Did your agency have a formal learning and development plan in place that was linked to business/agency strategy during 2013–14?

- 1 Yes—whole agency
- 2 Yes—part agency
- 3 Being developed
- 4 No

125. Please briefly describe any key workforce learning and development needs identified by your agency:

.....

.....

.....

.....

.....

126. Please briefly describe the key strategies employed by your agency to meet these learning and development needs in 2013–14:

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.....

.....

127. Please briefly describe the key challenges your agency faced in meeting these learning and development needs in 2013–14:

.....

.....

.....

.....

.....

128. In your agency, is employee development viewed as the responsibility of managers?

- 1 Yes
- 2 No **[Please go to question 130]**

129. Please briefly describe the strategies your agency uses to make employee development the responsibility of managers:

.....

.....

.....

.....

.....

130. In 2013–14, did your agency use any of the following strategies to encourage learning through on-the-job experience? **[Please select all that apply]**
- 1 Workplace projects
  - 2 Participating in working groups, committees or taskforces
  - 3 Work placements
  - 4 Community activities or volunteering
  - 5 Other **[Please specify]** .....
131. In 2013–14, did your agency formally evaluate the extent to which learning takes place through on-the-job experiences, tasks, and problem solving?
- 1 Yes **[Please specify]** .....
  - 2 No
132. In your agency, is investment in leadership, learning and development linked to the APS Leadership and Core Skills Strategy 2012–13?<sup>10</sup>
- 1 Yes—whole agency
  - 2 Yes—part agency
  - 3 No **[Please go to question 134]**
133. How has the APS Leadership and Core Skills Strategy 2012–13 influenced your agency's internal approach to learning and development? **[Please select all that apply]**
- 1 Agency efforts directed to cohorts that are not targeted in the strategy
  - 2 Agency efforts directed to developing capabilities and skills that are not targeted in the strategy
  - 3 Agency aligned internal leadership development approaches to the strategy
  - 4 Agency adopted the frameworks in the strategy
  - 5 Agency developed a new complementary internal strategy
  - 6 Agency realigned its existing strategy
  - 7 Reduced effort developing leadership programmes due to those being implemented under the strategy
  - 8 Reduced effort developing management programmes due to those being implemented under the strategy
  - 9 Reduced effort developing core and foundation skills programmes due to those being implemented under the strategy
  - 10 Other **[Please specify]** .....

<sup>10</sup> <http://www.apsc.gov.au/learn/leadership-and-core-skills>



134. Which of the following APS core skills learning programmes do you intend to run in your agency in the next 12 months (2014–15)? **[Please select all that apply]**

- 1 APS Ethics and Values
- 2 Understanding government
- 3 Performance management
- 4 Dealing with change
- 5 Working in teams
- 6 Working with diversity
- 7 Structuring work
- 8 Compelling communications
- 9 Building relationships and engagement
- 10 Coaching and developing others
- 11 Building and leading high performance teams
- 12 Planning and managing change
- 13 Getting the most out of diversity
- 14 Briefing and responding to APS decision-makers, ministers and parliament
- 15 Working with the Minister
- 16 Developing Cabinet submissions
- 17 Appearing before parliamentary committees
- 18 Managing relationships with Ministers, stakeholders and others
- 19 None of the above **[Please briefly describe the reasons none of the above apply]**

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135. Which of the following are the greatest workforce challenges experienced by your agency in implementing and/or progressing APS core skills learning programmes? **[Select all that apply]**

- 1 Uncertainty about the future
- 2 Difficulties mapping current capabilities in implementing core skills programmes
- 3 Internal learning and development capability
- 4 Existing contractual arrangements
- 5 Relevance to business needs
- 6 Other **[Please specify]** .....

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136. Which of the following skills are the top learning and development priorities for your agency in the next 12 months (2014–15)? **[Please select up to five skills in each category]**

**Core Skills**

- 1 APS Ethics and Values
- 2 APS Legal and Ethical Frameworks
- 3 APS decision-making
- 4 APS risk management
- 5 Procurement essentials
- 6 Contract management
- 7 Understanding government
- 8 Compelling communications
- 9 Building relationships and engagement
- 10 Working in teams
- 11 Working with diversity
- 12 Dealing with change
- 13 Working with stakeholders
- 14 Working across agencies/boundaries
- 15 Professional public service skills: policy, delivery, regulation
- 16 Developing business cases
- 17 Analytical thinking
- 18 Structuring work
- 19 Other **[Please specify]** .....

**Management skills**

- 20 Accountability in the public sector
- 21 Creating public value
- 22 Financial management and budgeting
- 23 Project and programme management
- 24 Designing government business models
- 25 Business acumen—purchasing services for government
- 26 Risk management
- 27 Briefing and responding to APS decision-makers, ministers and parliament
- 28 Working with the Minister
- 29 Developing Cabinet submissions
- 30 Appearing before parliamentary committees
- 31 Coaching and developing others
- 32 Building and leading high performance teams
- 33 Planning and managing change
- 34 Getting the most out of diversity
- 35 Organisational design
- 36 Programme evaluation
- 37 Other **[Please specify]** .....



This year's State of the Service report will include a number of case studies to highlight key themes and concepts within the report. Case studies will be included in the report based on how well they illustrate the key theme or concept under discussion.

It should be noted, provision of a case study to the Australian Public Service Commission does not guarantee its inclusion in the report. A compendium of all case studies received, however, will be published on the Commission's SOSR Exchange website ([www.apsc.gov.au/sosr-exchange](http://www.apsc.gov.au/sosr-exchange)) post the tabling of the State of the Service report on 1 December 2014.

137. Does your agency have a case study related to learning and development that you would like to highlight in the State of the Service report?

1 Yes

2 No **[Please skip to next section]**

138. Please include a brief description and the details of a relevant point of contact for this case study. The Commission will follow up with this contact post the agency survey and during the preparation of the State of the Service report. Thank you.

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**Comment Box L: Learning and Development**

[Empty comment box area]

## M. LEAVE MANAGEMENT

The questions in this section ask for employee numbers on the basis of **average** full time equivalent. If you cannot provide information on this basis of average full time equivalent please use **average** headcount.

Please use the following definitions for employee numbers:

**Average full-time equivalent (FTE) refers to the average number of FTE employees in your agency during 2013–14. Part-time employees are converted to full-time equivalents.**

**Include:**

All active full-time and part-time **ongoing** employees paid through payroll.

Part-time employees need to be converted to FTE based on actual hours worked.

All active full-time and part-time **non-ongoing** employees paid through payroll who are engaged for a specified term or for the duration of a specified task.

Part-time employees need to be converted to FTE based on actual hours worked.

**Exclude:**

Overtime.

Non-ongoing staff engaged for duties that are irregular or intermittent.

Workers paid through a third party.

Employees on unpaid leave.

Agency heads, statutory office holders and committee officers.

If your agency is relatively stable in size, then average staffing numbers can be calculated by averaging the number of people who are on the agency's payroll (excluding non-ongoing staff who are engaged for duties that are irregular or intermittent) at 1 July 2013 and 30 June 2014. Otherwise, if your agency has experienced some major change in workforce composition, then it may be necessary to calculate the average number of employees using the pay periods that fall within the period 1 July 2013 and 30 June 2014 (excluding non-ongoing staff who are engaged for duties that are irregular or intermittent).

If there are substantial numbers of employees operating under different agreed standard work hours (e.g. part-time employees), it is necessary to pro-rata the number of hours per employee. The following example illustrates how this can be done.

**Example:**

Standard hours per fortnight = 75 hours and there are 200 staff.

But this includes 20 part-time staff:

10 staff work 40 hours per fortnight       $10 \times (40\text{hrs}/75\text{hrs}) = 5.33 \text{ FTE}$

6 staff work 30 hours per fortnight       $6 \times (30\text{hrs}/75\text{hrs}) = 2.40 \text{ FTE}$

4 staff work 25 hours per fortnight       $4 \times (25\text{hrs}/75\text{hrs}) = 1.33 \text{ FTE}$

Therefore, total FTE      = 180 (full-time staff) + [5.33 + 2.40 + 1.33] (part-time staff)

   = 189.06 FTE

*For further information please see the Common Workforce Metrics Guide on the Commission's website <http://www.apsc.gov.au/publications-and-media/current-publications/workforce-analysis/appendix-a>*



**Average headcount refers to the average number of people employed directly by your agency during 2013–14.** Average headcount indicates the number of employees working for the organisation, regardless of hours worked, other working arrangements or leave.

**Include:**

All full-time and part-time ongoing employees.

All full-time and part-time non-ongoing employees who are engaged for a specified term or for the duration of a specified task.

**Exclude:**

Overtime.

Non-ongoing staff engaged for duties that are irregular or intermittent.

Workers paid through a third party.

Agency heads, statutory office holders and committee officers.

*For further information please see the Common Workforce Metrics Guide on the Commission's website <http://www.apsc.gov.au/publications-and-media/current-publications/workforce-analysis/appendix-a>*

139. Please list the number of average FTE APS employees in your agency in 2013–14.  
**[If average FTE is not available, use average headcount]<sup>11</sup>**

..... FTE [or ..... headcount]

**Scheduled leave**

140. Please list the total number of FTE days for each of the following types of **scheduled leave accrued** by APS employees in your agency as at 30 June 2014. **[If FTE is not available, use headcount]**

Scheduled leave type	FTE days*	Headcount days* (only if FTE days not available)	Data not available
a. Annual			
b. Flex			
c. Long Service Leave			

\* Where there was no scheduled leave of a particular type in your agency, please enter '0'.

141. Please describe any strategies used in 2013–14 to manage your agency's **scheduled** leave liability.

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<sup>11</sup> See page 49 for definition of FTE and Headcount.



142. Please complete the following table relating to maternity and parental leave taken by employees in 2013–14:

Leave type*	Number of employees	FTE days**	Headcount days (only if FTE days not available)	FTE** days	Headcount days (only if FTE days not available)
		PAID	PAID	UNPAID	UNPAID
a. Maternity					
b. Parental leave (excluding maternity)					

\* Maternity and parental leave does not include carer's leave. If your agency does not collect this information please enter NA in the appropriate cell.

\*\* Where there was no maternity or parental leave in your agency, please enter '0'.

**Unscheduled leave**

Unscheduled leave is defined as leave taken in recognition of circumstances that can generally arise irregularly or unexpectedly, making it difficult to plan, approve or budget for in advance, and which is inclusive of planned medical procedures.

For the purposes of this survey, please use the following definitions for absence type.

**Sick**—A workplace absence, regardless of duration, whether paid or unpaid, due to personal illness or injury or to undergo a planned medical procedure.

**Carer's**—A workplace absence, regardless of duration, whether paid or unpaid, to provide care or support for a member of the employee's immediate family or household who requires care or support.

**Compensation**—A workplace absence resulting from personal injury or disease sustained out of, or in the course of, employment (i.e. work related) and accepted by Comcare. This leave includes the total number of days or part-days an employee is absent from work due to incapacity. It excludes time spent at work on rehabilitation programmes, where rehabilitation takes place at the workplace in paid employment.

**Specific types of miscellaneous/other**—A workplace absence, regardless of duration, whether paid or unpaid, that is taken upon the death of a member of the employee's immediate family or household (bereavement), or to spend time with a seriously ill, injured or dying person who is a member of the employee's immediate family or household (compassionate), or in the event of an unexpected emergency.

**Unauthorised absence**—A workplace absence, regardless of duration, whether paid or unpaid, that given the circumstances is not supported or approved by management. For example an absence due to participation in workplace disputes.

Leave taken for the following events are **not** to be included:

- Annual/recreational leave
- Long service leave
- Adoption leave
- Purchased leave
- Maternity, paternity and parental leave
- War service leave
- Leave to move house, for study/exams, graduation, ceremonial, jury duty, emergency services duty and Defence Force reserve training/service.

These events are considered either planned events, or as in the case of emergency services duty and Defence Force reserve training/service, are actively supported by the APS.



143. Please list the total number of FTE days in 2013–14 for each of the following **unscheduled** leave categories for APS employees in your agency.

**[If FTE is not available, use headcount]**

- 1 If your agency's human resource system does not allow your agency to report unscheduled leave by the following categories, please indicate here and enter the total number of days of unscheduled leave in your agency in 2013–14 in the total row of the table below.

Unscheduled leave type	FTE days*	Headcount days* (only if FTE days not available)
a. Sick		
b. Carer's		
c. Compensation		
d. Specific types of miscellaneous/other		
e. Unauthorised absence		
<b>f. Total 2013–14 unscheduled leave</b>		

\* Where there was no unscheduled leave of a particular type in your agency, please enter '0'.

144. During 2013–14, did your agency report the following data relating to **unscheduled** leave:

Category	Yes at agency level	Yes at group/division level	Yes at lower level	No	Not able to disaggregate data
a. Days of the week leave was taken	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
b. Sex of employees taking leave	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
c. APS classification of employees taking leave	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
d. Age of employees taking leave	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
e. Work location (by state/region) of employees taking leave	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5
f. Job family/occupation group	<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5

145. Which of the following strategies did your agency use in 2013–14 to manage **unscheduled** leave:

	Yes— whole agency	Yes—part agency	Being Developed	No
a. Promoted a balanced view of workplace absence (i.e. support for genuinely sick or injured employees while deterring any discretionary absence)	O 1	O 2	O 3	O 4
b. Built on an understanding of the underlying causes of workplace absence and the impact of culture, practices and leadership	O 1	O 2	O 3	O 4
c. Implemented the short and longer term practices needed to address the underlying causes of workplace absence	O 1	O 2	O 3	O 4
d. Communicated agency expectations and approach to managing workplace absence	O 1	O 2	O 3	O 4
e. Clearly defined roles and responsibilities for line managers in managing workplace absence	O 1	O 2	O 3	O 4
f. Provided support and training to line managers to build their capability to actively address any problematic absences	O 1	O 2	O 3	O 4
g. Monitored workplace absence, identified trends and highlighted areas for further investigation <b>[If selecting 'Yes', please specify the lowest classification level within your agency that this information was made available to, and how frequently it was made available to that level]</b> .....	O 1	O 2	O 3	O 4
h. Raised awareness of health and safety issues and promoted employee wellbeing	O 1	O 2	O 3	O 4
i. Other <b>[Please specify]</b> ..... .....	O 1	O 2	O 3	O 4
j. None <b>[Please go to question 149]</b>	O 1	O 2	O 3	O 4

146. Which of the strategies used by your agency to manage **unscheduled** leave in 2013–14 were the most effective and why?

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147. During 2013–14, did your agency formally evaluate any of its **unscheduled** leave strategies?

- O 1 Yes
- O 2 No **[Please go to question 149]**



148. What were the findings of the formal evaluation (e.g. effectiveness, any areas for improvement etc.)?

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**Managing long-term leave**

149. If your agency used any strategies to specifically manage employees while on long term leave (e.g. maternity leave, compensation leave, etc.) in 2013–14, which strategies were the most effective and why?

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150. If your agency used any strategies to specifically manage employees returning to work after long term leave (e.g. maternity leave, compensation leave, etc.) in 2013–14, which strategies were the most effective and why?

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151. Does your agency have a case study related to leave management that you would like to highlight in the State of the Service report?

- 1 Yes
- 2 No **[Please skip to next section]**

152. Please include a brief description and the details of a relevant point of contact for this case study. The Commission will follow up with this contact post the agency survey and during the preparation of the State of the Service report. Thank you.

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**Comment Box M: Leave Management**

[Empty comment box area]



## N. HEALTH AND WELLBEING

153. Did your agency use any of the following strategies in 2013–14 to accommodate employees with ongoing health issues? **[Please select all that apply]**

- 1 Flexible working arrangements
- 2 Supervisory support and assistance
- 3 Social inclusion strategies
- 4 Workplace diversity strategies
- 5 Up-skilling
- 6 Targeted training
- 7 Health resources and services
- 8 Other **[Please specify]** .....
- 9 None of the above

154. Does your agency have any policies or guidance in place relating to fitness for duty or fitness for duty assessments (i.e. medical examinations directed under regulation 3.2 of the Public Service Regulations 1999)?

- 1 Yes
- 2 No

155. Which of the following flexible work practices does your agency provide to employees?  
**[Please select all that apply]**

- 1 Teleworking (where employees have a formal arrangement to work in a location other than the office, usually in a home office or an office location that is not their normal workplace)
- 2 Home-based work (where employees work from home, not dependent on accessing work IT environment, not necessarily a formal arrangement)
- 3 Compressed hours (e.g. working normal full-time hours in a nine-day fortnight)
- 4 Purchased leave
- 5 Flex-time
- 6 Part-time hours
- 7 None of these
- 8 Other **[Please specify]** .....

156. Does your agency experience any particular challenges in providing employees with access to flexible work practices?

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**Comment Box N: Health and Wellbeing**



*Thank you for completing this survey.*

**If you have any questions about the survey or the State of the Service reporting process more generally, please contact Angie Sturrock at the Commission on (02) 6202 3716 or [angela.sturrock@apsc.gov.au](mailto:angela.sturrock@apsc.gov.au)**

**If you have any technical questions about this survey or the website through which the survey is administered, please contact Chris Sadler from ORIMA Research on 1800 806 950.**



