

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Taxi costs

Senator: Ludwig

Question reference number: 136

Type of question: WRITTEN

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14th September, 2015:

1. How much did each department/agency spend on taxis during the specified period?
Provide a breakdown for each business group in each department/agency.
2. What are the reasons for taxi costs?
3. How much did the department spend on taxis during the specified period for their minister or minister's office?

Answer:

1. For the period 14 September 2015 to 31 January 2016, the ANAO incurred \$22,504.75 in taxi costs, of which \$19,092.95 related to the performance of audit activities, and \$3,411.80 related to the carrying out of corporate services and staff development events.
2. Taxi costs are incurred in the course of audit activities, corporate services and staff development events.
3. Nil. The ANAO did not incur any taxi costs for the Minister or Minister's office.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Hospitality and entertainment

Senator: Ludwig

Question reference number: 137

Type of question: WRITTEN

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 3

Question:

Since the change of Prime Minister on 14 September 2015:

1. What has been the Department/Agency's hospitality spend including any catering and drinks costs.
2. For each Minister and Parliamentary Secretary office, please detail total hospitality spend. Detail date, location, purpose and cost of all events including any catering and drinks costs.
3. What has been the Department/Agency's entertainment spend? Detail date, location, purpose and cost of all events including any catering and drinks costs.
4. For each Minister and Parliamentary Secretary office, please detail total entertainment spend. Detail date, location, purpose and cost of all events including any catering and drinks costs.
5. What hospitality spend is the Department/Agency's planning on spending? Detail date, location, purpose and cost of all events including any catering and drinks costs.
6. For each Minister and Parliamentary Secretary office, what hospitality spend is currently being planned for? Detail date, location, purpose and cost of all events including any catering and drinks costs.
7. What entertainment spend is the Department/Agency's planning on spending? Detail date, location, purpose and cost of all events including any catering and drinks costs.
8. For each Minister and Parliamentary Secretary office, what entertainment spend is currently being planned for? Detail date, location, purpose and cost of all events including any catering and drinks costs.
9. Is the Department/Agency planning on reducing any of its spending on these items? If so, how will reductions be achieved?

Answer:

Q1. The amount spent on official hospitality and entertainment for the period 14 September 2015 to 31 January 2016 was \$4,135. The details are presented in the table below:

Date	Host	Location	Nature of Event	Total
6/10/2015	ANAO	ANAO	International delegation catering	6
			Gift for International delegation	131
3/11/2015	ANAO	ANAO	ANAO function catering – Papua New Guinea secondees farewell	253
			International delegation catering	87
			Gifts for Papua New Guinea secondees farewell	83
9/11/2015	ANAO	Canberra	International delegation catering	191
10/11/2015	ANAO	Canberra	International delegation catering	210
11/11/2015	ANAO	Canberra	International delegation catering	173
			International delegation catering	524
			Tour of parliament house for international delegations	227
12/11/2015	ANAO	ANAO	Gifts for International delegation	797
		Canberra	International delegation catering	233
		Hobart	Official Auditor-General dinner with Tasmanian Auditor General	107
13/11/2015	ANAO	ANAO	International delegation catering	145
27/11/2015	ANAO	ANAO	ANAO function catering	592
17/12/2015	ANAO	ANAO	Indonesian Secondees farewell dinner	185
21/12/2015	ANAO	ANAO	ANAO executive function catering	67
29/1/2015	ANAO	ANAO	ANAO function catering	124
Total				4,135

Q2. Nil. The ANAO incurred no hospitality spend for Ministers or the Parliamentary Secretary office.

Q3. Amounts spent on entertainment are included in the official hospitality response for Question 1.

Q4. Nil. The ANAO incurred no entertainment spend for Ministers or the Parliamentary Secretary office.

Q5. In aggregate terms the ANAO has budgeted \$10,000 for official hospitality (which includes entertainment) for the 2015-16 financial year.

Q6. No hospitality spend is planned for Ministers or the Parliamentary Secretary office.

Q7. Amounts budgeted for entertainment are included in the official hospitality response for Question 5.

Q8. No entertainment spend is planned for Ministers of the Parliamentary Secretary office.

Q9. The ANAO does not expect significant changes to official hospitality or entertainment expenditure over the forward estimates. The annual spend on official hospitality can vary based on the number of international delegation visits. However, the ANAO continues to closely monitor expenditure in this area and will contain annual spend within budget expectations.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Executive coaching and leadership training

Senator: Ludwig

Question reference number: 138

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 4

Question:

Since the change of Prime Minister on 14 September 2015:

Please provide the following information in relation to executive coaching and/or other leadership training services purchased by each department/agency:

1. Total spending on these services
2. The number of employees offered these services and their employment classification
3. The number of employees who have utilised these services, their employment classification and how much study leave each employee was granted (provide a breakdown for each employment classification)
4. The names of all service providers engaged For each service purchased form a provider listed under (4), please provide:
 1. The name and nature of the service purchased
 2. Whether the service is one-on-one or group based
 3. The number of employees who received the service and their employment classification
 4. The total number of hours involved for all employees (provide a breakdown for each employment classification)
 5. The total amount spent on the service
 6. A description of the fees charged (i.e. per hour, complete package)
5. Where a service was provided at any location other than the department or agency's own premises, please provide:
 1. The location used
 2. The number of employees who took part on each occasion (provide a breakdown for each employment classification)
 3. The total number of hours involved for all employees who took part (provide a breakdown for each employment classification)
 4. Any costs the department or agency's incurred to use the location
6. In relation to education/executive coaching and/or other leadership training services paid for by the department what agreements are made with employees in regards to continuing employment after training has been completed?

7. For graduate or post graduate study, please breakdown each approved study leave by staffing allocation and degree or program title.

Answer:

1. The total spending on executive coaching and/or other leadership training services purchased by the ANAO from 14 September 2015 to 31 January 2016 was \$13,765.40 including GST.
2. Three SES Band 1 employees were offered executive coaching.
3. The number of employees who have utilised these services, their employment classification and how much study leave each employee was granted is as follows:
 - 1) 1 x SES Band 1 – 4.5 hours study leave granted
 - 2) 1 x SES Band 1 – 4.5 hours study leave granted
 - 3) 1 x SES Band 1 – 3 hours study leave granted
4. The table below provides the names of all service providers engaged for each service purchased from a provider listed under (4), as well as:
 - 1) The name and nature of the service purchased
 - 2) Whether the service is one-on-one or group based
 - 3) The number of employees who received the service and their employment classification
 - 4) The total number of hours involved for all employees (provide a breakdown for each employment classification)
 - 5) The total amount spent on the service
 - 6) A description of the fees charged (i.e. per hour, complete package)

1. Provider Name	1. Nature of Service	2. One-on-one or group based	3. Number of Employees	3. Classification Level	4. Total Hours	5. Total Spend	6. Description of fees
Bendelta	Executive Coaching	One-on-one	1	SES Band 1	4.5	\$5,029.47	Package
Bendelta	Executive Coaching	One-on-one	1	SES Band 1	4.5	\$4,147.46	Package
Bendelta	Executive Coaching	One-on-one	1	SES Band 1	3	\$4,588.47	Package
Total					12	\$13,765.40	

5. Where a service was provided at any location other than the department or agency's own premises, please provide:
 - 1) The location used
 - 2) The number of employees who took part on each occasion (provide a breakdown for each employment classification)
 - 3) The total number of hours involved for all employees who took part (provide a breakdown for each employment classification)
 - 4) Any costs the department or agency's incurred to use the location

1. Location Used	2. Number of Employees and Classification	3. Total Hours	4. Costs Incurred
Canberra Bendelta Office	1 x SES Band 1	4.5	0
Rydges Capital Hill	1 x SES Band 1	4.5	0
Rydges Capital Hill	1 x SES Band 1	3	0
Total	3	12	0

6. In relation to education/executive coaching and/or other leadership training services paid for by the department, the ANAO does not impose any continuing employment requirements on employees post completion of training. The cost is considered to be:
- an investment in the individual’s personal and professional development;
 - part of the ANAO’s attraction and retention strategy; and
 - a commitment by the ANAO in respect of its internal capability building and professional auditing standards.
7. The ANAO provides its staff with a three tiered approach under its Studies Assistance Policy. Each application is considered on its merit, consistent with policy requirements/criteria. Further details are outlined below:
- Tier 1: Professional Qualification i.e. Institute of Chartered Accountants Australia (ICAA); Certified Practising Accountants (CPA) Australia; The Institute of Internal Auditors (IIA); Certified Internal Auditor Information Systems Audit and Control Association (ISACA); Institute of Public Accountant (IPA). These qualifications are mandatory for financial statements audit staff;
 - Tier 2: Tertiary Education – priority to internal capability building of the ANAO and development needs of the employee; and
 - Tier 3: Tertiary – not a priority to the ANAO, but relevant to the broader Australian Public Service.

Details of all Tiers 1- 3 approved students are outlined below:

Program	Classification	Employees	Study Leave
Tier 1			22.5 hours study/exam leave per module/semester
ICAA / CAANZ Program	APS 6	4	
	APS 5	17	
	APS 4	3	
	Graduate	2	
CPA Australia Program	EL 2	15	
	EL 1	9	
	APS 6	11	
	APS 5	13	
	APS 4	3	
IIA	APS 6	1	
IPA	EL 2	1	
ISACA	EL 2	3	
	EL 1	1	
	APS 6	1	
	APS 5	2	
	APS 4	1	
	Graduate	1	
Total (Tier 1)		88	

Tier 2			Maximum 5 hours per week tuition
Bachelor of Commerce	APS 5	1	
Bachelor of Laws	APS 6	1	
Bachelor of Management (Organisational Psychology)	APS 6	1	
Grad Cert in Business Administration (Exec)	EL2	1	
Graduate Certificate of Technology (Business Systems)	APS 3	1	
Master of Asia-Pacific Studies	APS 6	1	
Master of Finance	APS 5	1	
Master of International Development Economics	APS 5	1	
Master of Professional Accounting	APS 5	1	
Master of Public Administration	EL2 APS 6 APS 5	1 1 1	
Total (Tier 2)		12	
Tier 3		Nil	

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Staffing profile

Senator: Ludwig

Question reference number: 139

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has there been any change to the staffing profile of the department/agency?
2. Provide a list of changes to staffing numbers, broken down by classification level, division, home base location (including town/city and state)

Answer:

1. There have been no changes to the ANAO's budgeted staffing profile since 14 September 2015 however actual staff numbers fluctuate due to turnover.
2. All ANAO employees are located in Canberra, ACT

Staff numbers as at 14 September 2015

Classification	ANAO	AASG	PASG	PSB	CMB/EXEC
APS1	1	1	0	0	0
APS2	3	0	0	0	3
Grad	14	6	8	0	0
APS3	15	6	4	1	4
APS4	35	19	10	0	6
APS5	45	25	16	1	3
APS6	62	25	19	5	13
EL1	52	22	21	3	6
EL2	71	26	34	6	5
SES1	21	10	8	1	2
SES2	5	2	3	0	0
SES3	1	0	0	0	1
TOTAL	325	142	123	17	43

(Please note: these figures do not include 23 employees on long term leave or temporary transfer)

Staff numbers as at 31 January 2016

Classification	ANAO	AASG	PASG	PSB	CMB/EXEC
APS1	1	0	1	0	0
APS2	2	0	0	0	2
Grad	2	2	0	0	0
APS3	11	2	4	1	4
APS4	30	13	9	0	8
APS5	44	24	17	0	3
APS6	63	26	19	5	13
EL1	51	20	20	4	7
EL2	72	26	37	6	3
SES1	21	10	9	1	1
SES2	4	1	2	0	1
SES3	1	0	0	0	1
TOTAL	302	124	118	17	43

(Please note: these figures do not include 30 employees on long term leave or temporary transfer)

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Staff Reductions

Senator: Ludwig

Question reference number: 140

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many staff reductions/voluntary redundancies have occurred?
 1. What was the reason for these reductions?
 2. Were any of these reductions involuntary redundancies? If yes, provide details.
 3. Are there any plans for further staff reductions/voluntary redundancies? If so, please advise details including if there is a reduction target, how this will be achieved, and if any services/programs will be cut.
 4. If there are plans for staff reductions, please give the reason why these are happening.
 5. Are there any plans for involuntary redundancies? If yes, provide details.
 6. How many ongoing staff left the department/agency? What classification were these staff?
 7. How many non-ongoing staff left department/agency from? What classification were these staff?
 8. What are the voluntary redundancy packages offered? Please detail for each staff level and position
 9. How do the packages differ from the default public service package? How is the department/agency funding the packages?

Answer:

1. The ANAO has had no staff reductions/voluntary redundancies in the period 14 September 2015 to 31 January 2016.
 1. Not applicable.
 2. Not applicable
 3. The ANAO has no plans for further staff reductions/voluntary redundancies.
 4. Not applicable.
 5. Not applicable.

7. 26 ongoing staff left the ANAO. The classifications of these staff were:

- | | |
|----------|---|
| a. APS 3 | 2 |
| b. APS 4 | 5 |
| c. APS 5 | 8 |
| d. APS 6 | 4 |
| e. EL 1 | 2 |
| f. EL 2 | 4 |
| g. SES 2 | 1 |

8. Eight non-ongoing staff left the ANAO. The classifications of these staff were:

- | | |
|----------|---|
| a. APS 1 | 1 |
| b. APS 3 | 2 |
| c. APS 4 | 1 |
| d. APS 5 | 1 |
| e. APS 6 | 3 |

9. Not applicable.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Staffing Recruitment

Senator: Ludwig

Question reference number: 141

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. How many ongoing staff have been recruited? What classification are these staff?
2. How many non-ongoing positions exist or have been created? What classification are these staff?
3. How many staff have been employed on contract and what is the average length of their employment period?

Answer:

1. In the specified period the ANAO has engaged a total of 16 ongoing staff. The breakup by classification is detailed in the table below:

GRAD (APS 3)	2
APS3	3
APS5	1
APS6	5
EL2	4
SES2	1
Total	16

2. The ANAO does not currently have any non-ongoing positions and only recruits non-ongoing employees to fill ongoing positions. The only exception to this in the period is one APS level 1 Undergraduate position.
3. Twenty-five non-ongoing contracts have been in place during the specified period with an average completed length of 7.75 months.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Kitchen Appliances

Senator: Ludwig

Question reference number: 142

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department/agency purchased, leased or rented any kitchen appliances over the value of \$1000? If yes, provide a list that includes the type of appliance, the cost, the amount, and any ongoing costs such as purchase of consumables and when the appliance was purchased?
2. Why were the appliances purchased?
3. Has there been a noticeable difference in staff productivity since the appliances were purchased? Are staff leaving the office premises less during business hours as a result?
4. Where did the funding for the appliances come from?
5. Who has access?
6. Who is responsible for the maintenance of the appliances? How much was spent on maintenance, include a list of what maintenance has been undertaken. Where does the funding for maintenance come from?
7. What are the other ongoing costs of the appliances?

Answer:

1. The ANAO has purchased one refrigerator at a cost of \$1,132.73 since the 14 September 2015. The refrigerator was purchased on the 15th October 2015 and there are no ongoing costs associated with this purchase.
2. The purchase was to replace an existing refrigerator that had ceased to be functional due to normal wear and tear.
3. As the purchase was a replacement of an existing appliance, there has been no impact on staff productivity.
4. The funding was from the ANAO Departmental appropriation.
5. The refrigerator is available to be used by all ANAO staff.
6. There is no associated maintenance work for the appliance.
7. There are no other ongoing costs for this appliance.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Boards

Senator: Ludwig

Question reference number: 143

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How often has each board met, break down by board name;
2. What travel expenses have been incurred;
3. What has been the average attendance at board meetings;
4. List each member's attendance at meetings;
5. How does the board deal with conflict of interest;
6. What conflicts of interest have been registered;
7. What remuneration has been provided to board members;
8. How does the board dismiss board members who do not meet attendance standards?
9. Have any requests been made to ministers to dismiss board members?
10. Please list board members who have attended less than 51% of meetings
11. What have been the catering costs for the board meetings held during this period? Please break down the cost list.

Answer:

Nil to all questions. The ANAO is not administered by a board and does not administer any boards.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Corporate Cars

Senator: Ludwig

Question reference number: 144

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many cars are owned by each department/agency?
 - a. Where are the cars located?
 - b. What are the cars used for?
 - c. What is the cost of each car during the specified period?
 - d. How far did each car travel during the specified period?

2. How many cars are leased by each department/agency?
 - a. Where are the cars located?
 - b. What are the cars used for?
 - c. What is the cost of each car during the specified period?
 - d. How far did each car travel during the specified period?

Answer:

1. Nil to all questions. ANAO does not own any vehicles.
2. The ANAO leases one vehicle.
 - a. The leased vehicle is located at ANAO's premises, 19 National Circuit, Barton ACT.
 - b. The leased vehicle is available to all staff for purposes such as courier duties, office purchasing, attending short off-site meetings and publications operations.
 - c. The ANAO's leased vehicle cost \$3,573.94 (GST Inclusive).
 - d. The ANAO's leased vehicle travelled 1,833 kilometres.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Government payments of accounts

Senator: Ludwig

Question reference number: 145

Type of question: WRITTEN

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. What has been the average time period for the department/agency paid its accounts to contractors, consultants or others?
2. How many payments owed (as a number and as a percentage of the total) have been paid in under 30 days?
3. How many payments owed (as a number and as a percentage of the total) have been paid in between 30 and 60 days?
4. How many payments owed (as a number and as a percentage of the total) have been paid in between 60 and 90 days?
5. How many payments owed (as a number and as a percentage of the total) have been paid in between 90 and 120 days?
6. How many payments owed (as a number and as a percentage of the total) have been paid in over 120 days?
7. For accounts not paid within 30 days, is interest being paid on overdue amounts and if so how much has been paid by the portfolio/department agency since Estimates, 2014?
8. Where interest is being paid, what rate of interest is being paid and how is this rate determined?

Answer:

1. The average time period for the payment of supplier accounts for the period 14 September 2015 to 31 January 2016 was 8 days.
2. Of a total of 1,229 payments, 1,225 payments were paid in under 30 days. This represents a percentage of 99.7 %.

3. Of a total of 1,229 payments, 3 payments were paid in between 30 and 60 days. This represents a percentage of 0.2%.
4. Of a total of 1,229 payments, 1 payment was paid in between 60 and 90 days. This represents a percentage of 0.1%.
5. There were nil payments paid in between 90-120 days.
6. There were nil payments made in over 120 days.
7. Late payments can arise due to disputed invoices or clarification of goods or services rendered prior to making payment. There was no interest paid on overdue amounts.
8. Refer response to Q7.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Hire Cars

Senator: Ludwig

Question reference number: 146

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How much did each department/agency spend on hire cars during the specified period?
Provide a breakdown of each business group in each department/agency.
2. What are the reasons for hire car costs?
3. How much did the department spend on hire cars during the specified period for their minister or minister's office?

Answer:

1. The ANAO incurred expenditure of \$1,836.34 on hire cars during the period of 14 September 2015 to 31 January 2016.
2. The car hire costs were incurred in the carrying out of audit related activities.
3. Nil. The ANAO did not incur any expenditure on hire cars for the minister or minister's office.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Credit cards

Senator: Ludwig

Question reference number: 147

Type of question: WRITTEN

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. Provide a breakdown of any changes to employment classifications that have access to a corporate credit card.
2. Have there been any changes to action taken in the event that the corporate credit card is misused?
3. Have there been any changes to how corporate credit card use is monitored?
4. Have any instances of corporate credit card misuse have been discovered during the specified period? If so:
5. Please list staff classification and what the misuse was, and the action taken.
6. Have there been any changes to what action is taken to prevent corporate credit card misuse?
7. How many credit cards available to the Minister or their office? If so, please list by classification. Have there been any misuse of credit cards by the Minister or their office? Has any action been taken against the Minister or their office for credit card misuse? If so, list each occurrence, including the cost of the misuse.

Answer:

Q1. Whole-of-Government procurement arrangements require that the Diners Club credit card is to be used for the payment of all flights, accommodation and rental cars. To facilitate compliance, the ANAO assigns each employee with a unique Diners card number in the travel booking system for payment of these services.

The ANAO also issues a physical corporate credit card where an employee:

- is required to travel on official business and will incur additional costs while travelling, such as taxis;
- is required to travel overseas. The employee will be provided with a Diners issued MasterCard for the duration of the travel; or
- is employed in the corporate area and business requirements necessitate a purchasing card.

There has been an overall increase of 10 cards issued to staff since 14 September 2015. The following table shows a breakdown by employment classification of staff issued a physical credit card as at 31 January 2016:

APS 3	APS 4	APS 5	APS 6	EL1	EL2	SES	Total
8	6	15	30	38	65	25	187

The following table shows the existing breakdown by employment classification of staff issued a physical credit card as at 14 September 2015:

APS 3	APS 4	APS 5	APS 6	EL1	EL2	SES	Total
4	6	14	29	38	62	24	177

Q2. There have been no changes to action taken in the event that the corporate credit card is misused.

Q3. There have been no changes to how the ANAO monitors credit card usage.

Q4 to Q6. There were no instances of credit card misuse in the period 14 September 2015 to 31 January 2016.

Q7. The ANAO does not provide a credit card to the minister or their office.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Functions

Senator: Ludwig

Question reference number: 148

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Provide a list of all formal functions or forms of hospitality conducted for the Minister.

Include:

1. The guest list of each function
2. The party or individual who initiated the request for the function
3. The menu, program or list of proceedings of the function
4. A list of drinks consumed at the function

Provide a list of the current wine, beer or other alcoholic beverages in stock or on order in the Minister's office. Breakdown by item, quantity and cost.

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Red tape reduction

Senator: Ludwig

Question reference number: 149

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Please detail changes to structures, officials, offices, units, taskforce or other processes has the department dedicated to meeting the government's red tape reduction targets?
 - a) What is the progress of that red tape reduction target
2. How many officers have been placed in those units and at what level?
3. How have they been recruited?
4. What process was used for their appointment?
5. What is the total cost of this unit?
6. What is the estimated total salary cost of the officers assigned to the unit?
7. Do members of the unit have access to cabinet documents?
8. Please list the security classification and date the classification was issued for each officer, broken down by APS or SES level, in the red tape reduction unit or similar body.
9. What is the formal name given to this unit/taskforce/team/workgroup or agency within the department?

Answer:

Nil to all questions. The ANAO has not dedicated specific resources to meeting the Government's red tape reduction targets through the establishment of a Unit or Taskforce. The Auditor-General considers the impact of recommendations in his reports noting that they are made to improve the efficiency, effectiveness, compliance and administration of audited entities.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Land Costs

Senator: Ludwig

Question reference number: 150

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

1. How much land (if any) does the Department or agencies or authorities or Government corporation within each portfolio own or lease?
2. Please list by each individual land holding, the size of the piece of land, the location of that piece of land and the latest valuation of that piece of land, where that land is owned or leased by the Department, or agency or authority or Government Corporation within that portfolio? (In regards to this question please ignore land upon which Australian Defence force bases are located. Non Defence Force base land is to be included)
3. List the current assets, items or purse (buildings, facilities or other) on the land identified above.
 - a. What is the current occupancy level and occupant of the items identified in (3)?
 - b. What is the value of the items identified in (3)?
 - c. What contractual or other arrangements are in place for the items identified in (3)?
4. How many buildings (if any) does the Department or agencies or authorities or Government Corporation within each portfolio own or lease?
5. Please list by each building owned, its name, the size of the building in terms of square metres, the location of that of that building and the latest valuation of that building, where that building is owned by the Department, or agency or authority or Government corporation within that portfolio? (In regards to this question please ignore buildings that are situated on Australian Defence force bases. Non Defence Force base buildings are to be included).
6. In regards to any building identified in Q4, please also detail, the occupancy rate as expressed as a percentage of the building size. If occupancy is identified as less than 100%, for what is the remaining space used?

Answer:

1. Not applicable. The ANAO does not own or lease any land.

2. Not applicable. The ANAO does not own or lease any land.
3. Nil to all questions. The ANAO does not own or lease any land.
4. The ANAO leases one building at 19 National Circuit, Barton ACT.
5. Not applicable. The ANAO does not own or lease any land.
6. The ANAO subleases 5.58% of surplus lease space on the ground floor. The rental income derived from the sublease is used to offset a portion of the rent expense. The remainder of the building is utilised by ANAO staff.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Contracts for Temporary Staff

Senator: Senator Ludwig

Question reference number: 151

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How much did the department/agency spend on temporary or contract staff?
2. How many temporary or contract staff have been employed?
3. What is the total number of temporary or contract staff currently employed?
4. How much was paid for agencies/companies to find temporary/contract staff?
5. Have there been any changes to the policies/criteria that govern the appointment of contract staff?

Answer:

1. The ANAO spent a total of \$488,891.22 on gross salaries for non-ongoing employees between 14 September 2015 and 31 January 2016.
2. Twenty-five non-ongoing contracts have been in place during the specified period with an average completed length of 7.75 months.
3. As at 31 January 2016 a total of 11 non-ongoing employees are engaged.
4. The ANAO paid a total of \$9,791 to external recruitment agencies in placement fees from 14 September 2015 to 31 January 2016.
5. There have been no changes to the policies/criteria that govern the appointment of these staff.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Printing

Senator: Ludwig

Question reference number: 152

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many documents (include the amount of copies) have been printed?
 - a) How many of these printed documents were also published online?
2. Has the Department/Agency used external printing services for any print jobs?
 - a) If so, what companies were used?
 - b) How were they selected?
3. What was the total cost of this printing by item?

Answer:

1. The majority of ANAO printing relates to Audit Reports that are tabled in the Parliament. The audit report print run consists of 182 hard copy reports as prescribed by the Department of the Prime Minister and Cabinet *Guidelines for the Presentation of Documents to the Parliament*, which includes provision of copies to the Parliament and to the Library Deposit Scheme. Prior to 3 December 2015, the ANAO printed additional copies of audit reports to distribute to the public sector and interested parties.

As from 3 December 2015, the ANAO introduced a 'digital first' policy, where the number of hard copy reports printed were reduced to meet the number required to satisfy Parliamentary tabling requirements (reducing the number of printed copies per report from 550 to 200). The ANAO no longer distributes hard copies of audit reports to the public sector or to other interested parties.

During the period 14 September 2015 to 3 December 2015, the ANAO printed seven reports with a print run that exceeded 500 copies, with a total of 3,850 copies.

- a) All audit reports are published online on the ANAO website.
2. The ANAO uses external printing services for audit reports.
 - a) CanPrint Communications Pty Ltd is the external printing service provider.
 - b) The ANAO has a contract with CanPrint that was awarded through a competitive tender process.
3. The total cost of printing audit reports (GST inclusive) was \$17,055.70.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Communications staff

Senator: Ludwig

Question reference number: 153

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

For all departments and agencies, please provide – in relation to all public relations, communications and media staff – the following:

1. How many ongoing staff, the classification, the type of work they undertake and their location.
2. How many non-ongoing staff, their classification, type of work they undertake and their location
3. How many contractors, their classification, type of work they undertake and their location
4. How many are graphic designers?
5. How many are media managers?
6. How many organise events?

Have these arrangements changed since the change of Prime Minister on 14 September 2015? If yes, please detail.

Answer:

The ANAO does not employ dedicated public relations or media staff.

The ANAO Communications Unit is responsible for assisting audit teams with the process of preparing reports for printing, the production of the ANAO's external publications and the implementation of the ANAO Communications Strategy and Social Media Policy by managing the ANAO website, social media presence and internal corporate intranet.

1. The Communications Unit consists of three ongoing staff, an Executive Level 1 officer, APS 6 officer and an APS 5 officer. The team is multidisciplinary and fulfils all aspects of the units responsibilities outlined. All staff are located in Canberra.
2. The ANAO engaged an additional non-ongoing APS 6 officer on 27 January 2016 to assist with content migration for a new website, as a short term task. This staff member is located in Canberra.
3. The ANAO does not have any contractors engaged in the Communications Unit.

4. The Communications Unit team is multidisciplinary and fulfils all aspects of the units responsibilities outlined. None of the staff are dedicated graphic designers.
5. None of the staff in the Communications Unit are media managers.
6. None of the staff in the Communications Unit organise events.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Reviews

Senator: Ludwig

Question reference number: 154

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many new reviews (defined as review, inter-departmental group, inquiry, internal review or similar activity) have been commenced? Please list them including:
 - a. the date they were ordered
 - b. the date they commenced
 - c. the minister responsible
 - d. the department responsible
 - e. the nature of the review
 - f. their terms of reference
 - g. the scope of the review
 - h. Who is conducting the review
 - i. the number of officers, and their classification level, involved in conducting the review
 - j. the expected report date
 - k. the budgeted, projected or expected costs
 - l. If the report will be tabled in parliament or made public
2. For any review commenced or ordered, have any external people, companies or contractors being engaged to assist or conduct the review?
 - a. If so, please list them, including their name and/or trading name/s and any known alias or other trading names
 - b. If so, please list their managing director and the board of directors or equivalent
 - c. If yes, for each is the cost associated with their involvement, including a break down for each cost item
 - d. If yes, for each, what is the nature of their involvement
 - e. If yes, for each, are they on the lobbyist register, provide details.
 - f. If yes, for each, what contact has the Minister or their office had with them
 - g. If yes, for each, who selected them
 - h. If yes, for each, did the minister or their office have any involvement in selecting them,
 - i. If yes, please detail what involvement it was

- i. ii. If yes, did they see or provided input to a short list
 - ii. If yes, on what dates did this involvement occur
 - iii. If yes, did this involve any verbal discussions with the department
 - iv. If yes, on what dates did this involvement occur
3. Which reviews are on-going?
 - a. Please list them.
 - b. What is the current cost to date expended on the reviews?
4. Have any reviews been stopped, paused or ceased? Please list them.
5. Which reviews have concluded? Please list them.
6. How many reviews have been provided to Government? Please list them and the date they were provided.
7. When will the Government be responding to the respective reviews that have been completed?
8. What reviews are planned?
 - a. When will each planned review be commenced?
 - b. When will each of these reviews be concluded?
 - c. When will government respond to each review?
 - d. Will the government release each review?
 - e. If so, when? If not, why not?

Answer:

Nil to all questions.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Commissioned Reports

Senator: Ludwig

Question reference number: 155

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many reports (including paid external advice) have been commissioned by the Minister, department or agency?
 - a. Please provide details of each report including date commissioned, date report handed to Government, date of public release, Terms of Reference and Committee members.
2. How much did each report cost/or is estimated to cost? How many departmental or external staff were involved in each report and at what level?
What is the current status of each report? When is the Government intending to respond to these reports?

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister. The ANAO has not commissioned any reports to be undertaken by an agency or person chosen by the Minister or Government, and to which a government response is expected.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Appointments

Senator: Ludwig

Question reference number: 156

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Please detail any board appointments made to date.
2. What is the gender ratio on each board and across the portfolio?
3. Has the department instigated or changed its gender ratio target and/or any other policy intended to increase the participation rate of women on boards? If yes, please specify what the target and policy is for each board.
Please specify when these gender ratio or participation policies were changed.

Answer:

Nil to all questions. The ANAO does not administer any boards.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Stationery Requirements

Senator: Ludwig

Question reference number: 157

Type of question: WRITTEN

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How much has been spent by each department and agency on the government (Ministers / Parliamentary Secretaries) stationery requirements in your portfolio to date?
 1. Detail the items provided to the minister's office.
 2. Please specify how many reams of paper have been supplied to the Minister's office.
2. How much has been spent on departmental stationery requirements to date.
3. Has any customised stationery been requested or provided to the Minister or Ministerial Staff? If yes, please include a photo/scan, detail the type of stationery, date it was requested, date it was provided and the cost.

Answer:

1. The ANAO did not incur any expenditure on the government (Ministers / Parliamentary Secretaries) stationery requirements.

1. The ANAO did not provide any stationery items to the Minister's office.
2. The ANAO did not provide any paper to the Minister's office.

2. The ANAO spent a total of \$17,907 on stationery in the period 14 September 2015 to 31 January 2016.

3. The ANAO did not provide any customised stationery to the Minister or Ministerial Staff.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Electronic equipment

Senator: Ludwig

Question reference number: 158

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Other than phones, ipads or computers – please list the electronic equipment provided to the Minister’s office.
 - a. List the items
 - b. List the items location or normal location
 - c. List if the item is in the possession of the office or an individual staff member of minister, if with an individual list their employment classification level
 - d. List the total cost of the items
 - e. List an itemised cost breakdown of these items
 - f. List the date they were provided to the officeNote if the items were requested by the office or proactively provided by the department

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Media subscriptions

Senator: Ludwig

Question reference number: 159

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. What pay TV subscriptions does your department/agency have?
 1. Please provide a list of channels and the reason for each channel.
 2. What has been the cost of this package/s during the specified period?
 3. What is provided to the Minister or their office?
 4. What has been the cost of this package/s during the specified period?
2. What newspaper subscriptions does your department/agency have?
 1. Please provide a list of newspaper subscriptions and the reason for each.
 2. What has been the cost of this package/s during the specified period?
 3. What is provided to the Minister or their office?
 4. What has been the cost of this package/s during the specified period?
3. What magazine subscriptions does your department/agency have?
 1. Please provide a list of magazine subscriptions and the reason for each.
 2. What has been the cost of this package/s during the specified period?
 3. What is provided to the Minister or their office?
 4. What has been the cost of this package/s during the specified period?
4. What publications does your department/agency purchase?
 1. Please provide a list of publications purchased by the department and the reason for each.
 2. What has been the cost of this package/s during the specified period?
 3. What is provided to the Minister or their office?

What has been the cost of this package/s during the specified period?

Answer:

1. What pay TV subscriptions does your department/agency have?
 1. The ANAO does not subscribe to Pay TV other than Parliamentary TV in order to be able to live stream Parliament during sittings.
 2. \$3,368.49
 3. The ANAO does not supply pay TV subscriptions to the Minister or their office.
 4. N/A

2. What newspaper subscriptions does your department/agency have?
 1. The following newspapers are supplied to ANAO for audit and research related purposes: The Age; The Australian; The Australian Financial Review; The Daily Telegraph; The Canberra Times; The Courier Mail; The Koori Land; The Land; The Sydney Morning Herald.
 2. \$8,984.64
 3. The ANAO does not supply newspapers to the Minister or their office.
 4. N/A

3. What magazine subscriptions does your department/agency have?
 1. The following magazines are supplied to ANAO for audit and research related purposes: Australian Personal Computer; Australian Defence Business Review; Australian Defence Magazine; Australian Environmental Review; Australian Taxation Reporter; Choice Magazine; Defence Today; The Economist; Harvard Business Review; HIS Jane's Defence Magazine; The Monthly; Quarterly Essay; The Taxpayer.
 2. \$86.37
 3. The ANAO does not supply magazines to the Minister or their office.
 4. N/A

4. What publications does your department/agency purchase?
 1. The following publications were purchased for audit and research related purposes: Inside Australia's Anti-Terrorism Laws; I'm racist but... 40 years of the Racial Discrimination Act; Leadership in Action; Advanced Australia; A private life, Michael Kirby; No Small Change, the road to recognition for Indigenous Australians; Clear and Concise, become a better business writer; Knowledge Wars; No Minister; Make Mentoring Work; How to run a government; Accounting and Auditing Standards Handbook 2016 (multiple copies)
 2. \$389.00
 3. The ANAO does not supply publications to the Minister or their office.
 4. N/A

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Meeting costs

Senator: Ludwig

Question reference number: 160

Type of question: WRITTEN

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. How much has the Department/Agency spent on meeting costs? Detail date, location, purpose and cost of all events, including any catering and drinks costs.
 2. For each Minister and Parliamentary Secretary office, please detail total meeting spend from to date. Detail date, location, purpose and cost of each event including any catering and drinks costs.
 3. What meeting spend is the Department/Agency's planning on spending? Detail date, location, purpose and cost of all events including any catering and drinks costs.
- For each Minister and Parliamentary Secretary office, what meeting spend is currently being planned for? Detail date, location, purpose and cost of each event including any catering and drinks costs.

Answer:

Q1. The ANAO does not record information in a way that would enable the questions to be answered to the level of detail requested. However, a review of financial transactions has identified \$8,213.83 associated with ANAO meetings and venue costs for the period 14 September 2015 to 31 January 2016. The table below provides further details:

Period	Location	Purpose	Cost (\$)
October 2015	Canberra	Meeting venue costs, including catering	3,938.64
November 2015	Canberra	Meeting venue costs, including catering	225.29
December 2015	Canberra	Meeting venue costs, including catering	3,850.49
January 2016	Canberra	Meeting venue costs, including catering	199.41
		Total	8,213.83

Q2. The ANAO incurred no meeting costs for Ministers or the Parliamentary Secretary office.

Q3. The ANAO conducts many meetings during the financial year and does not record information in a way that would enable the question to be answered to the level of detail requested. The provision of catering and/or venue hire is determined on a case by case basis after considering circumstances such as whether:

- there is a demonstrable advantage or critical business need in holding the meeting during meal periods;
- the meeting is of an extended duration; and/or
- there are available and suitable internal facilities to conduct the meeting.

Q4. No meeting spend is planned for Ministers or the Parliamentary Secretary office.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Media training

Senator: Ludwig

Question reference number: 161

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. In relation to media training services purchased by each department/agency, please provide the following information:
 1. Total spending on these services
 2. An itemised cost breakdown of these services
 3. The number of employees offered these services and their employment classification
 4. The number of employees who have utilised these services and their employment classification
 5. The names of all service providers engaged
 6. The location that this training was provided
2. For each service purchased from a provider listed under (1), please provide:
 1. The name and nature of the service purchased
 2. Whether the service is one-on-one or group based
 3. The number of employees who received the service and their employment classification (provide a breakdown for each employment classification)
 4. The total number of hours involved for all employees (provide a breakdown for each employment classification)
 5. The total amount spent on the service
 6. A description of the fees charged (i.e. per hour, complete package)
3. Where a service was provided at any location other than the department or agency's own premises, please provide:
 4. The location used
 5. The number of employees who took part on each occasion
 6. The total number of hours involved for all employees who took part (provide a breakdown for each employment classification)

Any costs the department or agency's incurred to use the location.

Answer:

1 – 6 Nil response. The ANAO has not provided any media training during the period of 14 September 2015 to 31 January 2016.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Consultancies

Senator: Ludwig

Question reference number: 162

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many consultancies have been undertaken? Identify the name of the consultant, the subject matter of the consultancy, the duration and cost of the arrangement, and the method of procurement (ie open tender, direct source, etc). Also include total value for all consultancies.
2. How many consultancies are planned for this calendar year? Have these been published in your Annual Procurement Plan (APP) on the Austender website and if not why not? In each case please identify the subject matter, duration, cost and method of procurement as above, and the name of the consultant if known.
3. Have any consultancies not gone out for tender?
 - a. List each, including name, cost and purpose
 - b. If so, why?

Answer:

1. Since the change of Prime Minister on 14 September 2015 the ANAO has engaged 2 new consultancies, details of which are presented in the table below.

Name	Subject Matter	Start Date	End Date	Cost	Procurement Method
Ernst and Young	Quality assurance reviews for 2014-15 assurance engagements	1 Oct 15	30 Sep 18	\$379,299	Open Tender
ORIMA Research	Audit Client Survey 2015-16	23 Oct 15	28 Oct 16	\$62,208	Limited Tender
			Total	\$441,507	

2. The ANAO engages specialist consultants to assist with delivery of the audit program, provide specialist audit quality assurance reviews, and assist with corporate projects and services. Utilisation of consultants is determined on a case by case basis. Some consultancies will not appear in the Annual Procurement Plan as panel arrangements are in place.

3. In accordance with the Commonwealth Procurement Rules, limited tender is permitted where the total value of the procurement is less than \$80,000. Where a limited tender approach is used (as is the arrangement with Orima in Question 1), the ANAO ensures value for money is achieved through assessing the potential supplier's experience, capability and cost in delivering the consultancy services. The ANAO considers that value for money has been achieved in all limited tender procurements.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Provision of equipment – Ministerial

Senator: Ludwig

Question reference number: 163

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. For departments/agencies that provide mobile phones to Ministers and/or Parliamentary Secretaries and/or their offices, what type of mobile phone has been provided and the costs?
 - a. Itemise equipment and cost broken down by staff or minister classification
2. Has electronic equipment (such as ipad, laptop, wireless card, vasco token, blackberry, mobile phone (list type if relevant), thumb drive, video cameras) been provided by the department/agency? If yes provide a list of:
3. What is provided?
4. The purchase cost.
5. The ongoing cost.
6. A list of any accessories provided for the equipment and the cost of those accessories. (e.g. iPad keyboards, laptop carry bags, additional chargers etc). A breakdown of what staff and staff classification receives each item.

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Provision of equipment - Departmental

Senator: Ludwig

Question reference number: 164

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has electronic equipment (such as ipad, laptop, wireless card, vasco token, blackberry, mobile phone (list type if relevant), thumb drive, video cameras) been provided by the department/agency to departmental staff? If yes provide a list of:
2. What has been provided?
3. The purchase cost.
4. The ongoing cost.
5. A list of any accessories provided for the equipment and the cost of those accessories. (e.g. iPad keyboards, laptop carry bags, additional chargers etc).
A breakdown of what staff and staff classification receives each item.

Answer:

1. Since the 14 September no new electronic equipment has been purchased for departmental staff
2. NA
3. NA
4. NA
5. NA

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Computers

Senator: Ludwig

Question reference number: 165

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. List the current inventory of computers owned, leased, stored, or able to be accessed by the Ministers office as provided by the department, listing the equipment cost and location and employment classification of the staff member that is allocated the equipment, or if the equipment is currently not being used
2. List the current inventory of computers owned, leased, stored, or able to be accessed by the department, listing the equipment cost and location
3. Please detail the operating systems used by the department's computers, the contractual arrangements for operating software and the on-going costs

Answer:

1. Nil. The ANAO does not supply Computers to a Minister.

2.

Equipment	Location	Number	Cost per Unit
Laptop HP612	Canberra Office	30	\$900
Laptop HP 820	Canberra Office	350	\$860
Desktop HP 780	Canberra Office	60	\$630

3.

Operating System	Contract Arrangement	Cost
Windows 7	VSA – Whole of Government Volume Sourcing arrangement with Microsoft	\$67,750 pa Software Assurance

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Travel costs - department

Senator: Ludwig

Question reference number: 166

Type of question: WRITTEN

Date set by the committee for the return of answer:

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. Is the minister or their office or their delegate required to approve all departmental and agency international travel?
2. If so, under what policy?
3. Provide a copy of that policy.
4. When was this policy implemented?
5. When is the minister notified, when is approval provided?
6. Detail all travel (domestic and international) for Departmental officers that accompanied the Minister and/or Parliamentary Secretary on their travel. Please include a total cost plus a breakdown that include airfares (and type of airfare), accommodation, meals and other travel expenses (such as incidentals).
7. Detail all travel for Departmental officers. Please include a total cost plus a breakdown that include airfares (and type of airfare), accommodation, meals and other travel expenses (such as incidentals). Also provide a reason and brief explanation for the travel.
8. What date was the minister or their office was notified of the travel?
9. What date did the minister or their office approve the travel?
10. What travel is planned for the rest of this calendar year? Also provide a reason and brief explanation for the travel.

Answer:

1 to 2. The ANAO has regard to international travel approval requirements as outlined in *Resource Management Guide No. 405 – Official International Travel – Approval and Use of the Best Fare of the Day*.

Within the context of the ANAO, all international travel is approved by either the Auditor-General or Deputy Auditor-General. The Auditor-General's travel is approved by the Chair of the ANAO's Audit Committee.

3. *Resource Management Guide No. 405* is available on the Department of Finance website at: <http://www.finance.gov.au/sites/default/files/resource-management-guide-no-405.pdf>

4. The policy outlined in *Resource Management Guide No. 405* took effect on 27 February 2015. The policy replaces *Resource Management Guide No. 405 – 1 July 2014: Official International Travel – Approval and Use of the Best of the Day*.

5. For the period 14 September 2015 to 31 January 2016 no international travel undertaken by the ANAO has required the Prime Minister's approval. However, the Prime Minister is informed in writing of any planned international travel that directly involves the Auditor-General.

6. There were no instances where an ANAO officer accompanied the Minister and/or the Parliamentary Secretary on their travel.

7. The ANAO spent \$378,672.93 on travel for the period 14 September 2015 to 31 January 2016. Travel of \$251,201.75 related to direct audit activities and \$127,471.18 related to travel associated with international engagements, audit conferences and meetings, corporate activities and professional development activities. The ANAO's travel management system does not record information to the level of detail requested.

8 to 9. Refer response to Q5.

10. The ANAO plans to undertake travel related to direct audit activities as set out in the respective audit work programs. The volume and timing of this travel can vary depending on the audit program and arrangements made with audited entities. The ANAO will also be undertaking international travel for planned international engagements.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Grants

Senator: Ludwig

Question reference number: 167

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. What guidelines are in place to administer grants?
2. How are grants applied for?
3. Are there any restrictions on who can apply for a grant? If yes, please detail.
 - a. Can these restrictions be waved? If yes, please detail the process for waving them and list any grants where the restrictions were waved.
4. What is the procedure for selecting who will be awarded a grant?
5. Who is involved in this selection process?
6. Does the minister or the minister's office play any role in awarding grants? If yes, please detail.
 - a. Has the minister or the minister's office exercised or attempted to exercise any influence over the awarding of any grants? If yes, please detail.
7. Provide a list of all grants, including ad hoc, one-off discretionary grants awarded to date. Provide the recipients, amount, intended use of the grants, what locations have benefited from the grants and the electorate and state of those locations.
8. Update the status of each grant that was approved prior to the specified period, but did not have financial contracts in place at that time. Provide details of the recipients, the amount, the intended use of the grants, what locations have benefited from the grants and the electorate and state of those grants.

Answer:

Nil to all questions. The ANAO does not administer any grants.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Rebranding

Senator: Ludwig

Question reference number: 168

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department/Agency undergone a name change or any other form of rebranding?

If so:

- a. Please detail why this name change / rebrand were considered necessary and a justified use of departmental funds?
 - i. Please provide a copy of any reports that were commissioned to study the benefits and costs associated with the rebranding.
- b. Please provide the total cost associated with this rebrand and then break down by amount spent replacing:
 - i. Signage.
 - ii. Stationery (please include details of existing stationery and how it was disposed of).
 - iii. Logos
 - iv. Consultancy
 - v. Any relevant IT changes.
 - vi. Office reconfiguration.
- c. How was the decision reached to rename and/or rebrand the department?
 - i. Who was involved in reaching this decision? ii. Please provide a copy of any communication (including but not limited to emails, letters, memos, notes etc) from within the department, or between the department and the government regarding the rename/rebranding.

Answer:

Nil to all questions. The ANAO has not undergone a name change or rebranding.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Media monitoring

Senator: Ludwig

Question reference number: 169

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

1. What was the total cost of media monitoring services, including press clippings, electronic media transcripts etcetera, provided to the Minister's office during the specified period?
 - a) Which agency or agencies provided these services?
 - b) What has been spent providing these services during the specified period?
 - c) Itemise these expenses.

2. What was the total cost of media monitoring services, including press clippings, electronic media transcripts etcetera, provided to the department/agency during the specified period?
 - a) Which agency or agencies provided these services?
 - b) What has been spent providing these services during the specified period?
 - c) Itemise these expenses

Answer:

1. The ANAO does not provide media monitoring services, including press clippings, electronic media transcripts etcetera, to the Minister's office.
 - a) N/A
 - b) N/A
 - c) N/A

2. The total cost of media monitoring services for the ANAO during the specified period \$ 10,737.68

- a) The ANAO's information research centre staff conduct media monitoring using free (internet) and two paid databases, ProQuest ANZ Newsstand and LexisNexis Capital Monitor. These databases are not primarily utilised for media monitoring services but do offer this capability. No other agency or agencies provided these services.
- b) \$ 10,737.68
- c) Itemised expenses:
- ProQuest ANZ Newsstand \$6,890.94
 - LexisNexis Capital Monitor \$3,846.74

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Procedure Manuals (Ministerial)

Senator: Ludwig

Question reference number: 170

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. Does the minister's office have a procedure manual for communication between the minister's office and the department? If yes, please provide a copy and:
2. When was the manual last updated?
3. Who is responsible for updating the manual?
4. Who is the manual distributed to?
Is anyone responsible for clearing communications before they are sent to the department?

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Enterprise Bargaining Agreements (EBAs)

Senator: Ludwig

Question reference number: 171

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. Please list all related EBAs with coverage of the department.
2. Please list their starting and expiration dates.

What is the current status of negotiations for the next agreement/s? Please detail.

Answer:

1. The ANAO has one EBA, Enterprise Agreement 2011–2014.
2. The Agreement started in 25 October 2011 and nominally expired on 30 June 2014.

The Agreement Making Team (AMT), consisting of three management, three CPSU and seven staff representatives, has met regularly since July 2014.

A series of information sessions were conducted by the new Auditor-General and Deputy Auditor-General in August 2015 and February 2016.

An offer was put to staff on 4 February 2016, and following consultations and discussions with staff, the Australian Public Service Commissioner approved the ANAO's amended proposed Enterprise Agreement on 7 March 2016.

A final staff information session was held between the Auditor-General and staff on 9 March 2016.

The consideration period was 17–23 March 2016, and the ballot opened on 24 March and closed on 31 March 2016.

The ANAO expects to have an outcome on its proposed Enterprise Agreement 2016–2019 late on 31 March 2016.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Existing Resources Program

Senator: Ludwig

Question reference number: 172

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many projects, work, programs or other tasks has the department started as a consequence of government policies or priorities that are required to be funded 'within existing resources'?
2. List each
3. List the staffing assigned to each task
4. What is the nominal total salary cost of the officers assigned to the project?
5. What resources or equipment has been assigned to the project?

Answer:

Q1 to Q5. The ANAO's resourcing is allocated to the delivery of our assurance and performance audit programs. While the ANAO utilises corporate staff for implementing and monitoring compliance with legislative and government policy requirements, no resourcing has been specifically allocated to deliver a particular government policy or priority.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Conditions of Government Contracts and Agreements

Senator: Ludwig

Question reference number: 173

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. Do any contracts managed by the Department/Agency contain any limitations or restrictions on advocacy or criticising Government policy? If so, please name each contact. When was it formed or created?
2. What are the specific clauses and/or sections which state this, or in effect, create a limitation or restriction?
3. Do any agreements managed by the Department/Agency contain any limitations on restrictions on advocacy or criticisms of Government policy? If so, please name each agreement. When was it formed or created?
4. What are the specific clauses and/or sections which state this, or in effect, create a limitation or restriction?
5. For each of the contracts and agreements, are there any particular reason, such as genuine commercial in confidence information, for this restriction?
6. Have any changes to financial or resource support to services which advocate on behalf of groups or individuals in Australian society been made? If so, which groups? What was the change?
7. Has any consultation occurred between the Department/Agency and any individuals and/or community groups about these changes? If so, what consultation process was used? Was it public? If not, why not? Are public submissions available on a website?
8. If no consultation has occurred, why not?
9. Did the Minister/Parliamentary Secretary meet with any stakeholders about changes to advocacy in their contracts and/or agreements? If so, when? Who did he/she meet with?

Answer:

Q1 – Q9. Nil to all parts of the question. The ANAO uses standard Commonwealth contracts that do not contain any limitations or restrictions on advocacy or criticising Government policy.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Statutory Review Provisions

Senator: Ludwig

Question reference number: 174

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Please list all current legislation, covered by the department's portfolio, which contain a statutory review provision/s. For each, please provide:

1. What work has been done towards preparing for the review? If none, why not?
2. Please provide a schedule or a workplan for the review
3. When did/will this work begin?
4. When is/was the review due to commence.
5. What is the expected report date?
6. Who is the minister responsible for the review
7. What department is responsible for the review
8. List the specific clauses or legislation under review caused by the statutory provision.
9. List the terms of reference.
10. What is the scope of the review?
11. Who is conducting the review? How were they selected? What are the legislated obligation for the selection of the person to conduct the review?
12. What is the budgeted, projected or expected costs of the review?
13. When was the Minister briefed on this matter?
14. What decision points are upcoming for the minister on this matter?
15. List the number of officers, and their classification level, involved in conducting the review
Will the report will be tabled in parliament or made public. If so, when?

Answer:

Nil to all questions. The ANAO does not administer legislation that contains a statutory review provision.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Sunset Provisions

Senator: Ludwig

Question reference number: 175

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. Please list all current legislation, covered by the department's portfolio, which contain a sunset provision/s. For each, please provide:
 - a. What work has been done towards preparing for the activation of sunset provisions? If no work has commenced, why not?
 - b. Has any consideration been given to delaying or alerting the sunset provisions?
 - c. Please provide a schedule or a workplan for the sunset provisions becoming active
 - d. When did/will this work begin?
2. Will there be any reviews of or relating to the legislation before or after the sunset provision is enacted? If yes:
 - a. When is/was the review due to commence.
 - b. What is the expected report date?
 - c. Who is the minister responsible for the review
 - d. What department is responsible for the review
 - e. List the specific clauses or legislation under review caused by the statutory provision.
 - f. List the terms of reference.
 - g. What is the scope of the review?
 - h. Who is conducting the review? How were they selected? What are the legislated obligation for the selection of the person to conduct the review?
 - i. What is the budgeted, projected or expected costs of the review?
 - j. When was the Minister briefed on this matter?
 - k. What decision points are upcoming for the minister on this matter?
 - l. List the number of officers, and their classification level, involved in conducting the review

Will the report will be tabled in parliament or made public. If so, when?

Answer:

Nil to all questions. The ANAO does not administer legislation that contains a sunset provision.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Legal Costs

Senator: Ludwig

Question reference number: 176

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. List all legal costs incurred by the department or agency
2. List the total cost for these items, broken down by source of legal advice, hours retained or taken to prepare the advice and the level of counsel used in preparing the advice, whether the advice was internal or external
3. List cost spend briefing Counsel, broken down by hours spent briefing, whether it was direct or indirect briefing, the gender ratio of Counsel, how each Counsel was engaged (departmental, ministerial)
4. How was each piece of advice procured? Detail the method of identifying legal advice

Answer:

Q1 to Q2. The ANAO obtains all legal advice externally as set out below for the relevant period:

Date	Provider	Cost (\$)	Hours	Level of counsel
30/9/2015	King & Wood Mallesons	\$ 1,069.51	2.00	Partner
30/9/2015	King & Wood Mallesons	\$ 2,000.00	2.20 0.60 1.80	Special Counsel Senior Associate Solicitor
6/10/2015	Australian Government Solicitor	\$ 8,333.00	20.36 2.00	Senior Lawyer Senior Executive Lawyer
13/10/2015	Australian Government Solicitor	\$ 1,326.00	2.36	Senior Executive Lawyer
23/10/2015	Australian Government Solicitor	\$ 1,808.00	2.36 1.24	Senior Lawyer Senior Executive Lawyer
28/10/2015	King & Wood Mallesons	\$ 5,000.00	5.40 6.20 1.00	Solicitor Senior Associate Partner
3/11/2015	Maddocks	\$ 1,800.00	3.75	Partner
30/11/2015	King & Wood Mallesons	\$ 2,032.06	3.80	Partner
30/11/2015	King & Wood Mallesons	\$ 978.83	1.30 0.70	Senior Associate Partner
30/11/2015	King & Wood Mallesons	\$ 1,804.21	2.20 4.50	Partner Summer Clerk
24/12/2015	Maddocks	\$ 6,050.00	12.60	Partner
27/1/2016	Maddocks	\$ 2,530.00	5.27	Partner
29/1/2016	King & Wood Mallesons	\$ 3,000.00	4.60 1.60	Senior Associate Partner
29/1/2016	HWL Ebsworth	\$ 10,856.50	12.90 22.50 1.40 4.40	Solicitor Senior Associate Paralegal Casual Paralegal

Q3. Nil to this question.

Q4. The ANAO utilises the Legal Services Multi-Use List (LSMUL) and obtains quotes for each request for legal advice and compares the rates from the LSMUL to assess they are value for money prior to negotiating and accepting the quote.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Procedure Manuals (Departmental)

Senator: Ludwig

Question reference number: 177

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. Does the department have a procedure manual for communication between the department and the minister? If yes, please provide a copy and:
2. When was the manual last updated?
3. Who is responsible for updating the manual?
4. Has the minister's office had any input into the content of the manual? If so, please detail.
5. Who is the manual distributed to?
Is anyone responsible for clearing communications before they are sent to the minister or the minister's office?

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Vending Machines

Senator: Ludwig

Question reference number: 178

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department/agency purchased or leased or taken under contract any vending machine facilities?
 - a. If so, list these
 - b. If so, list the total cost for these items
 - c. If so, list the itemised cost for each item of expenditure
 - d. If so, where were these purchased
 - e. If so, list the process for identifying how they would be purchased
 - f. If so, what is the current location for these items?
 - g. If so, what is the current usage for each of these items?

Answer:

1. Nil to all questions. The ANAO has not purchased, leased or taken under contract any vending machine facilities.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Self-initiated work

Senator: Ludwig

Question reference number: 179

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. Does the department have a program for staff to engage in self-initiated work (projects, plans etc that are devised by staff without being directed by the minister's office or department management)?
2. Please list all ongoing projects. For each, please detail:
3. When did the project commence?
4. When is it expected to conclude?
5. What will the total cost of the project be?
6. Where did the money for the project come from?
7. Where is the project based?

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question. All work undertaken by the ANAO is approved by the Auditor-General or the ANAO Executive.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Staff Awards

Senator: Ludwig

Question reference number: 180

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the Department / Agency given out awards to staff for any reason? If yes:
 - a. What was the reason for the awards?
 - b. What was the criteria for the awards?
 - c. What form did the award take? (e.g. Certificate, gift vouchers etc)
 - d. How much was spent on the award?
2. How were the awards presented?
3. Who presented the awards?
4. Was there a ceremony or party for the awards? If yes:
 - a. Where was it held?
 - b. Was there a fee for the venue? If yes, how much?
 - c. How much was spent on catering?
 - d. How many people attended?
 - e. Did the minister attend?
 - f. Did the minister's staff attend? If yes, how many?

Answer:

1. The Auditor-General's Australia Day Awards were held on 21 January 2016.
 - a. The Awards are held every year to recognise ANAO staff members who reflect the National Australia Day Council's values of integrity, accountability, collaboration, excellence, trust and respect in the work we do.
 - b. The criteria for the awards are:
 - Demonstrated the qualities that inspire others;
 - Demonstrated excellence;
 - Pursued innovation;
 - Demonstrated courageous leadership;
 - Facilitated engagement and connection within the workplace;
 - Built and maintained productive relationships with key stakeholder groups; and
 - Been a catalyst for discussion and debate.

- c. The award consisted of an Akubra, a National Australia Day Council medallion and a certificate.
 - d. A total of \$2,039.54 was spent on the award items listed at 1c above.
- 2. The awards were presented at a function to which all ANAO staff were invited.
- 3. The Auditor-General presented the awards.
- 4. A morning tea was included in the award ceremony.
 - a. In the training rooms at the ANAO's offices.
 - b. There is no cost associated with this venue.
 - c. Catering cost \$2079.00
 - d. 180 staff members attended.
 - e. The minister did not attend.
 - f. No member of the minister's staff attended.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Change management

Senator: Ludwig

Question reference number: 181

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the Department/Agency engaged in a policy of Change Management? If yes:
 - a. Please detail the policy.
 - b. When was the policy introduced?
 - c. What are the goals of the policy?
 - d. How much was spent on consulting for the policy and who was contracted for this consultation?
 - e. How much was spent implementing this policy?

Answer:

Nil to all questions. The ANAO has not engaged in a policy of change management.

PROCEDURES FOR DETERMINING BREACHES OF THE CODE OF CONDUCT AND SANCTIONS

VERSION 1.2: EFFECTIVE OCTOBER 2015

CODE OF CONDUCT AND SANCTIONS
Corporate Management Branch



DOCUMENT CONTROL

Contact for enquiries and proposed changes:

Name	Christine King
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Location	ANAO CMB, Ground Floor, 19 National Circuit, Barton ACT 2600

Record of Endorsement

Status	Name	Date
Approved	Ben Sladic, A/g Executive Director, Corporate Management Branch	October 2015

Record of Amendments

Version	Author	Date	Review Date	Comments
1.0	Christine King	10/09/2013	10/09/2015	Drafted by AGS
1.1	Christine King	28/08/2014	27/08/2016	APSC amendments
1.2	David Sloan	October 2015	October 2016	Document review

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I, BEN SLADIC, Delegate for the Auditor-General for the Commonwealth of Australia, establish these procedures for the Australian National Audit Office, under subsection 15(3) of the *Public Service Act 1999*.



Date: 1 October 2015

These procedures commence on 1 October 2015.

These procedures supersede the previous procedures made by me under subsection 15(3) of the *Public Service Act 1999*, but the previous procedures may continue to apply for transitional purposes.

Introduction

The APS Code of Conduct establishes the standards of conduct required of APS employees. The APS Code of Conduct is set out in section 13 of the *Public Service Act 1999* (the Act). The Act also sets out the APS Values and APS Employment Principles which apply to APS staff. [The APS Values, APS Employment principles and the APS Code of Conduct are at Attachment A]. A breach of the Code of Conduct constitutes misconduct.

A person who is or was an APS employee is also taken to have breached the Code of Conduct if the person is found to have provided false or misleading information in connection with their engagement as an APS employee [s 15(2A) of the Act is also at Attachment A].

The Auditor-General must, under subsection 15(3)(a) of the Act, establish procedures for determining breaches of the Code of Conduct by APS employees or former APS employees (suspected of having breached the Code whilst an employee in the ANAO or in connection with the person's engagement as an ANAO employee). It is a requirement that the procedures must comply with procedural requirements set out in the Australian Public Service Commissioner's Directions 2013 and must have due regard to procedural fairness.

The procedures may be different for: different categories of APS employees or former APS employees; or for APS employees or former APS employees who have been convicted of an offence against a Commonwealth, State or Territory law in respect of conduct that is alleged to constitute a breach of the Code of Conduct; or for APS employees or former APS employees who have been found to have committed such an offence but no conviction is recorded.

The Auditor-General must, under s 15(3)(b), establish procedures for determining the sanction (if any) that is to be imposed pursuant to section 15(1) of the Act on an APS employee in the ANAO who is found to have breached the Code of Conduct. [The sanctions that may be imposed are at Attachment B.]

Having regard to the Privacy Act 1988 and s72E of the Act, the ANAO must have due regard to the requirements for the release and keeping of records. [Attachment C explains how information can be used]

Section 28 of the Act provides that the Public Service Regulations 1999 may make provision for the suspension from duties of APS employees with or without remuneration (see Regulation 3.10) [Information on suspension from duties is at Attachment D.]

Further information is available from:

- (i) The Australian Public Service Commission publication, APS Values and the Code of Conduct in practice: Guide to official conduct for APS employees and Agency Heads; and
- (ii) The ANAO's Guideline to Handling Alleged Breaches of the Code of Conduct and Guide to Conduct at Attachment E.

1 Application of Procedures and decision to apply Procedures

- 1.1 These procedures must be complied with in determining whether an APS employee has breached the Code of Conduct and in determining what, if any, sanction is to be imposed on an APS employee who has breached the Code of Conduct.

Note: These procedures apply only in relation to a suspected breach of the Code of Conduct by an APS employee in respect of which a determination may be made. Not all suspected breaches of the Code of Conduct need to be dealt with by way of a determination. In particular circumstances, another way of dealing with a suspected breach of the Code may be more appropriate.

- 1.2 The Auditor-General, Deputy Auditor General or the Executive Director, CMB can decide whether or not to deal with a suspected breach of the Code of Conduct under these procedures or whether to deal with a suspected breach another way (e.g. by counseling or warning the employee).
- 1.3 Where the conduct of an APS employee raises concerns that relate both to effective performance and to possible breaches of the Code of Conduct, the Auditor-General, Deputy Auditor General or the Executive Director, CMB must, before making a decision to initiate an inquiry under these procedures, have regard to any relevant standards and guidance issued by the Australian Public Service Commissioner.

2 Selection of decision-makers

- 2.1 The Auditor-General or delegate will select the person who determines whether an APS employee has breached the Code of Conduct. The person selected will be called the breach decision-maker.
- 2.2 The breach decision-maker may seek the assistance of an investigator with matters including investigating the alleged breach, gathering evidence and making a report of recommended factual findings to the breach decision-maker.
- 2.3 The Auditor-General or delegate will determine what, if any, sanction to impose. The person who determines sanction will be called the sanction delegate. The sanction delegate and breach decision-maker may be the same person. A non-APS employee may be selected as the breach decision-maker or as the sanction delegate only if prior written approval is obtained from the Australian Public Service Commissioner.
- 2.4 The sanction delegate must hold a delegation of the power under the Act to impose sanctions as well as any related powers, such as under s 29 of the Act.
- 2.5 The breach decision-maker and the sanction delegate must advise the Auditor-General or Deputy Auditor General in writing if at any stage in the process they consider that they may not be independent and unbiased or if they consider that they may reasonably be perceived not to be independent and unbiased, for example if they are a witness in the matter.

3 Process to be informal

- 3.1 The process for determining whether an APS employee has breached the Code of Conduct must be carried out with as little formality and as much expedition as a proper consideration of the matter allows. A formal hearing is not required.
- 3.2 The breach decision-maker should not make a final decision until the employee the subject of the process has been afforded procedural fairness:

Note: Procedural fairness generally requires that:

- ▶ the person suspected of breaching the Code is informed of the case against them (i.e. any material that is before the decision-maker that is adverse to the person or their interests and that is credible, relevant and significant)
- ▶ the person is provided with a reasonable opportunity to respond and put their case, in accordance with these procedures, before any decision is made on breach or sanction
- ▶ the decision-maker acts without bias or an appearance of bias

- ▶ there is logically probative evidence to support the making, on the balance of probabilities, of adverse findings.

4 Employee must be informed before final breach determination

4.1 A determination may not be made in relation to a suspected breach of the Code by a person unless reasonable steps have been taken to:

a) inform the person of:

- i. the details of the suspected breach of the Code (including any subsequent variation of those details); and
- ii. where the person is an APS employee, the sanctions that may be imposed on them under subsection 15 (1) of the Act;

and

b) give the person a reasonable opportunity to make a written statement, or provide further evidence in relation to the suspected breach, within 7 calendar days or any longer period that is allowed by the breach decision-maker.¹

Note: This clause is designed to ensure that by the time the breach decision-maker comes to make a determination, reasonable steps have been taken for the person suspected of breach to be informed of the case against them. It will generally be good practice to give the person notice at an early stage in the process of a summary of the details of the suspected breach that are available at that time and notice of the elements of the Code that are suspected to have been breached.

Note: The breach decision-maker may decide to give the person the opportunity to make both a written and an oral statement.

4.2 An employee who does not make a statement in relation to the suspected breach is not, only for that reason, to be taken to have admitted committing the suspected breach.

¹ In relation to both paragraphs 4.1 and 5.1 the person must advise without delay if they wish to make an oral statement. The person will be granted reasonable requests to bring a support person but not a representative.

5 Employee must be informed before a sanction is imposed

5.1 If a determination is made that an APS employee in the ANAO has breached the Code, a sanction may not be imposed on the employee in the ANAO unless reasonable steps have been taken to:

- a) inform the employee of:
 - i. the determination that has been made;
 - ii. the sanction or sanctions that are under consideration; and
 - iii. the factors that are under consideration in determining any sanction to be imposed; and
- b) give the employee a reasonable opportunity to make a statement in relation to the sanction or sanctions under consideration within 7 calendar days, or any longer period as is allowed by the sanction delegate.²

5.2 The process must be consistent with the principles of procedural fairness.

Note: Procedural fairness generally requires that:

- ▶ the employee found to have breached the Code must be informed of any information before the sanction delegate that is adverse to the employee or their interests and that is also credible, relevant and significant
- ▶ the employee must be provided with a reasonable opportunity to respond and put their case, in accordance with these procedures, before any decision is made on sanction
- ▶ the decision-maker must act without bias or an appearance of bias

5.3 Alternatively, no sanction may be imposed. If no sanction is imposed then the sanction delegate (if the sanction delegate is an APS employee in the ANAO, otherwise an SES employee in the ANAO) may decide that no action is required or may decide to select one or more of the following options:

- a) informal discussions between a manager and the employee who has breached the Code of Conduct;
- b) counselling of the employee;
- c) formal direction and warning;

² Section 29 of the Act deals with termination of employment. Additional requirements are imposed for SES employees under s 38.

- d) requiring the employee to attend a training program;
- e) adverse performance assessment.

6 Record of determination and sanctions

- 6.1 If a determination is made in relation to a suspected breach of the Code of Conduct by an APS employee, a written record must be made of:
- a) the suspected breach; and
 - b) the determination regarding breach; and
 - c) any sanctions imposed as a result of a determination that the employee breached the Code of Conduct; and
 - d) if a statement of reasons was given to the employee—the statement of reasons.

Note: The Archives Act 1983 and the Privacy Act 1988 apply to records of determination and sanction.

7 Procedure when an employee is to move to another Agency during an investigation

- 7.1 This paragraph applies if:
- a) an ongoing APS employee in an Agency is suspected of having breached the Code of Conduct; and
 - b) the employee has been informed of the matters mentioned in paragraph 4.1(a); and
 - c) the matter has not yet been resolved; and
 - d) a decision has been made that, apart from this paragraph, would result in the movement of the employee under section 26 of the Act to another Agency (including on promotion).
- 7.2 Unless the Auditor-General and the new Agency Head agree otherwise, the movement (including on promotion) does not take effect until a determination is made about whether or not the employee has breached the Code of Conduct or it is decided that a determination is not necessary.

8 Procedure for former APS employees and employees who resign before a sanction is imposed

- 8.1 A former employee can be found to have breached the Code of Conduct. A sanction cannot be imposed on a former employee. Therefore everything in these procedures applies to persons who were formerly APS employees in the ANAO, except the provisions regarding sanction (e.g. paragraph 4.1 (a)(ii) and paragraph 5).
- 8.2 If an employee's resignation takes effect before a sanction is imposed, a sanction will not be imposed and the employee's separation will be treated and recorded as a resignation. Any determination of a breach of the Code of Conduct will remain on the employee's records. Once termination of an employee's employment comes into effect, the ANAO is required to gazette the employee's name and the section of the Act under which their employment was terminated (i.e. there will be a public record if an employee's employment was terminated for a breach of the Code of Conduct).
- 8.3 Where an employee leaves the ANAO and moves (including following a resignation or break in service) to a new agency after a breach determination but before the application of a sanction, then the new Agency Head can apply a sanction in accordance with the new Agency's procedures, on the basis of the ANAO's finding of breach.

ATTACHMENT A APS VALUES, APS EMPLOYMENT PRINCIPLES AND THE APS CODE OF CONDUCT

10 APS Values

Committed to service

- (1) The APS is professional, objective, innovative and efficient, and works collaboratively to achieve the best results for the Australian community and the Government.

Ethical

- (2) The APS demonstrates leadership, is trustworthy, and acts with integrity, in all that it does.

Respectful

- (3) The APS respects all people, including their rights and their heritage.

Accountable

- (4) The APS is open and accountable to the Australian community under the law and within the framework of Ministerial responsibility.

Impartial

- (5) The APS is apolitical and provides the Government with advice that is frank, honest, timely and based on the best available evidence.

10A APS Employment Principles

APS Employment Principles

- (1) The APS is a career based public service that:
 - a) makes fair employment decisions with a fair system of review; and
 - b) recognises that the usual basis for engagement is as an ongoing APS employee; and
 - c) makes decisions relating to engagement and promotion that are based on merit; and
 - d) requires effective performance from each employee; and
 - e) provides flexible, safe and rewarding workplaces where communication, consultation, cooperation and input from employees on matters that affect their workplaces are valued; and

- f) provides workplaces that are free from discrimination, patronage and favouritism; and
- g) recognises the diversity of the Australian community and fosters diversity in the workplace.

Decisions based on merit

- (2) For the purposes of paragraph (1)(c), a decision relating to engagement or promotion is based on merit if:
 - a) all eligible members of the community were given a reasonable opportunity to apply to perform the relevant duties; and
 - b) an assessment is made of the relative suitability of the candidates to perform the relevant duties, using a competitive selection process; and
 - c) the assessment is based on the relationship between the candidates' work related qualities and the work related qualities genuinely required to perform the relevant duties; and
 - d) the assessment focuses on the relative capacity of the candidates to achieve outcomes related to the relevant duties; and
 - e) the assessment is the primary consideration in making the decision.

Note: Commissioner's Directions may determine the scope or application of the APS Employment Principles (see subsections 11A(2) and (3)).

13 The APS Code of Conduct

- (1) An APS employee must behave honestly and with integrity in connection with APS employment.
- (2) An APS employee must act with care and diligence in connection with APS employment.
- (3) An APS employee, when acting in connection with APS employment, must treat everyone with respect and courtesy, and without harassment.
- (4) An APS employee, when acting in connection with APS employment, must comply with all applicable Australian laws. For this purpose, Australian law means:
 - a) any Act (including this Act), or any instrument made under an Act; or
 - b) any law of a State or Territory, including any instrument made under such a law.
- (5) An APS employee must comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction.
- (6) An APS employee must maintain appropriate confidentiality about dealings that the employee has with any Minister or Minister's member of staff.

- (7) An APS employee must:
- (a) take reasonable steps to avoid, any conflict of interest (real or apparent) in connection with the employee's APS employment; and
 - (b) disclose details of any material personal interest of the employee in connection with the employee's APS employment.
- (8) An APS employee must use Commonwealth resources in a proper manner and for a proper purpose.
- (9) An APS employee must 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.
- (10) An APS employee must not improperly use inside information or the employee's duties, status, power or authority:
- (a) to gain, or to seek to gain, a benefit or an advantage for the employee or any other person; or
 - (b) to cause, or to seek to cause, detriment to the employee's Agency, the Commonwealth or any other person.
- (11) An APS employee must at all times behave in a way that upholds:
- a) the APS Values and APS Employment Principles; and
- the integrity and good reputation of the employee's Agency and the APS.
- (12) An APS employee on duty overseas must at all times behave in a way that upholds the good reputation of Australia.
- (13) An APS employee must comply with any other conduct requirement that is prescribed by the regulations.

15 Breaches of the Code of Conduct

Providing false or misleading information etc. in connection with engagement as an APS employee

- (2A) A person who is, or was, an APS employee is taken to have breached the Code of Conduct if the person is found (under procedures established under subsection (3) of this section or subsection 41B(3) or 50A(2)) to have, before being engaged as an APS employee:
- a) knowingly provided false or misleading information to another APS employee, or to a person acting on behalf of the Commonwealth; or
 - b) wilfully failed to disclose to another APS employee, or to a person acting on behalf of the

Commonwealth, information that the person knew, or ought reasonably to have known, was relevant; or

- c) otherwise failed to behave honestly and with integrity; in connection with the person's engagement as an APS employee.

Note: If the person is an APS employee at the time a finding referred to in paragraph (2A)(a), (b) or (c) is made in relation to the person, the Agency Head of the employee's Agency may impose sanctions on the person as permitted by subsection (1)

ATTACHMENT B SANCTIONS FOR BREACHES OF THE CODE OF CONDUCT

The Auditor-General (or delegate) may impose the following sanctions on an APS employee who is found (under the procedures established) to have breached the Code of Conduct:

- 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 (up to 2% of annual salary);
- f) a reprimand.

ATTACHMENT C RECORD KEEPING AND PROVISION OF INFORMATION

1. Defining personal information

- 1.1 Personal information is defined in the Privacy Act 1988.
- 1.2 Section 72 E of the Act permits the use and disclosure of certain personal information.

2. To whom personal information of the employee subject to a Code of Conduct process may be disclosed

- 2.1 The ANAO considers information about employees or former employees who are or have been subject to a Code of Conduct process³ at the ANAO should be made readily available in relation to:
 - (a) any applications for transfer or promotion within the ANAO; or
 - (b) the relevant Human Resources personnel in any other Commonwealth agency the employee approaches e.g. regarding a transfer or engagement.
- 2.2 Personal information may be used or disclosed where necessary for or relevant to the performance or exercise of any employer powers or where the ANAO considers it is appropriate for employment purposes.
- 2.3 For example, during the course of a Code of Conduct process, or after the process is complete, personal information about the person under investigation or who is found to have breached the Code of Conduct may be disclosed to others by the ANAO, without notice to the person, including to:
 - a) the employee's managers (for employment purposes);
 - b) any person undertaking recruitment, promotion or employment selection in relation to the person;
 - c) advise the complainant of the outcome (see paragraphs 2.6 - 2.9 below);
 - d) external bodies or agencies who are or have been involved in the matter, such as the Merit Protection Commissioner, Commonwealth Ombudsman, Office of the Privacy Commissioner or **the** Inspector General of Intelligence and Security; and/or
 - e) any Commonwealth Department or Agency the person approaches e.g. regarding a transfer or engagement, any enforcement body (e.g. the Australian Federal Police), any

³ And the completed process has resulted in a determination that the employee has breached the Code of Conduct.

security assessment agency and/or any future or prospective future employer.

- 2.4 All information about a Code of Conduct process will be destroyed in accordance with the *Archives Act 1983* and will generally not be disclosed after the passing of 5 years from the date of a breach determination.⁴
- 2.5 In disclosing information about outcomes to complainants, the ANAO will have regard to guidance from the Australian Public Service Commissioner. However, the overriding concern will be to ensure effective staff management at the ANAO. This requires weighing of the interest of parties in the protection of their privacy, the need to ensure accurate information is disseminated where appropriate and the need to effectively manage staff.
- 2.6 Where a breach of the Code of Conduct is found, it may be appropriate to advise a complainant of some specific details. For example, if an employee makes numerous allegations of bullying against a manager, the complainant and the manager's managers will usually be informed of the detail of any allegations that were found not to be substantiated and any allegations found to be substantiated. This is particularly appropriate where both employees will continue to work together and the alleged misconduct was of an interpersonal nature. The detail of particular allegations that are substantiated can be highly relevant to managing and monitoring an employee who is found to have engaged in misconduct and in supporting any employees who have been the subject of e.g. bullying.
- 2.7 There may be cases where it is appropriate to only advise a complainant in very broad terms of the outcome of a process. For example, where there is a concurrent criminal process and the complainant is a witness or where the alleged misconduct does not involve the complainant as a witness.
- 2.8 Where the result of a Code of Conduct process is a finding of no breach, it will often be appropriate to advise relevant witnesses (including the complainant) and managers that the employee was found to have not breached the Code. If a Code process arose from a complaint by an APS employee, and many or all of the complainant's allegations are found to be unsubstantiated, this may result in action being taken against the complainant. Every matter will be considered individually on its merits.

3. Handling personal information during a Code of Conduct process

- 3.1. During the course of a Code of Conduct process, the person subject to the Code of Conduct process will usually be provided with personal and/or sensitive information to ensure the person is afforded procedural fairness. Other employees or persons may also be provided with information or documents as part of the process.
- 3.2. Everyone involved in a Code of Conduct process, including witnesses, must treat any information they receive or possess regarding the process as 'sensitive: personal' and should

⁴ A decision under regulation 5.32 of the *Public Service Regulations 1999* may also constitute the date of a breach determination for the purpose of this clause.

only use or disclose it for the purpose of the Code of Conduct process and in accordance with the Act and the *Privacy Act 1988*.

3.3. The ANAO will also treat information about a Code of Conduct process as 'sensitive: personal' but may make disclosures to facilitate undertaking the Code of Conduct process, implementing any consequences of the process or in accordance with paragraph 2 above.

4. ANAO may disclose general information

4.1 The ANAO regularly provides de-identified information to fulfill reporting requirements

ATTACHMENT D SUSPENSION FROM DUTY

1. Section 28 of the Act provides for regulations to be made for suspension from duty with or without pay.
2. Regulation 3.10 provides:

3.10 Suspension from duties (Act s 28)

1. An Agency Head may suspend an APS employee employed in the Agency from duties if the Agency Head believes on reasonable grounds that:
 - a) the employee has, or may have, breached the Code of Conduct; and
 - b) the employee's suspension is in the public, or the Agency's, interest.
2. The suspension may be with remuneration.
3. If the suspension is to be without remuneration, the period without remuneration is to be:
 - a) not more than 30 days; or
 - b) if exceptional circumstances apply — a longer period.
4. The Agency Head must review the suspension at reasonable intervals.
5. The Agency Head must immediately end the suspension if the Agency Head no longer believes on reasonable grounds:
 - a) that the APS employee has, or may have, breached the Code of Conduct; or
 - b) that the employee's suspension is in the public, or the Agency's, interest.
6. The Agency Head must immediately end the suspension if a sanction has been imposed on the APS employee for the relevant breach of the Code of Conduct.
7. In exercising powers under this regulation, the Agency Head must have due regard to procedural fairness unless the Agency Head is satisfied on reasonable grounds that, in the particular circumstances, it would not be appropriate



GUIDELINES FOR HANDLING ALLEGED BREACHES OF THE CODE OF CONDUCT AND FOR IMPOSING SANCTIONS

VERSION 2.0 EFFECTIVE AUGUST 2014

CODE OF CONDUCT AND SANCTIONS
Corporate Management Branch



DOCUMENT CONTROL

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Introduction

These guidelines explain the process for dealing with allegations of breaches of the APS Code of Conduct (the Code) either informally or under the *Procedures for Determining Breaches of the Code of Conduct and Sanctions*.

Where whistleblower allegations are made, they are dealt with under the Australian National Audit Office's (ANAO's) *Whistleblower Procedures*.

Principles

General

The procedures for handling breaches of the Code should be seen as a complement to other management processes of supervision, leadership and staff counselling. Care needs to be taken when deciding how best to deal with suspected breaches of the Code, and whether to take action under the *Procedures for Determining Breaches of the Code of Conduct and Sanctions* (i.e. misconduct action). Some issues which arise in the workplace may be better handled through the *Internal Fair Treatment Procedures* even though a breach of the Code might be involved. Misconduct action should generally be seen as a last resort. When in doubt seek advice from your supervisor or the Senior Director Human Resources in the first instance.

The Code applies to all APS employees. However, if an employee is serving a period of probation imposed as a condition of engagement, the ANAO can choose to handle behavioural issues within the probationary framework and not by taking misconduct action.

This document only provides guidance on how to handle alleged breaches of the Code and for imposing sanctions. However, the *Procedures for Determining Breaches of the Code of Conduct and Sanctions* provides more detailed advice and must be strictly adhered to. Those engaged in the process should also refer to relevant advice from the Australian Public Service Commission including the publication available at apsc.gov.au entitled *Handling misconduct : A human resources practitioner's guide to the reporting and handling of suspected and determined breaches of the APS Code of Conduct* (or any superseding publication).

Misconduct

Misconduct arising from a breach of the Code should be distinguished from underperformance. Underperformance means failing to meet the standards of performance expected of an employee at their level, in terms of behaviour, work output and attitude. The ANAO's *Enterprise Agreement* outlines the processes for managing underperformance. The means for dealing with underperformance are not normally concerned with breaches of the Code. However, in rare cases underperformance could lead to misconduct action. For example, an inability to follow instruction(s) should be dealt with in accordance with the underperformance procedures, but an unwillingness or refusal to follow instructions could be dealt with as a potential breach of the Code.

Where the conduct of an APS employee raises concerns that relate both to effective performance and to possible breaches of the Code, the Auditor-General, Deputy Auditor General or the Executive Director, CMB must, before making a decision to initiate misconduct action, have regard to any relevant standards and guidance issued by the Australian Public Service Commissioner.

The primary aim of the disciplinary provisions associated with the Code is to facilitate appropriate administration of a suspected breach of the Code, and also maintain staff confidence in the integrity of the system.

While the maintenance of privacy is important, this should not be given undue emphasis and used as a reason for not dealing with alleged breaches of the Code. Any privacy issues are to be dealt with in accordance with Attachment C to the *Procedures for Determining Breaches of the Code of Conduct and Sanctions*.

The misconduct process is intended to be fair, transparent and easy to follow whilst ensuring that the process for making any adverse findings is fair and reasonable.

Dealing with alleged breaches of the Code of Conduct

General

Every APS employee's duty to act with integrity and with the highest ethical standards imposes a reporting obligation on all employees with regard to suspected misconduct. In some circumstances, particularly for employees with managerial responsibilities, it could be a breach of the Code for an employee not to report suspected misconduct. Reports must be made at least to the level of the reporting employee's immediate supervisor.

In the first instance, an employee is encouraged to report a suspected breach of the Code to their immediate supervisor. If that is not possible or appropriate, the matter may be reported to the Executive Director Corporate Management Branch, Deputy Auditor-General or the Auditor-General. Should an employee wish to set in motion the process in section 16¹ of the *Public Service Act 1999* (the Act), a report must be made to the Auditor-General and must fulfil certain requirements.

The person to whom an alleged breach has been reported should consider whether the matter is sufficiently serious to warrant reporting to the Auditor-General, Deputy Auditor General or the Executive Director, CMB for consideration of possible misconduct action. If a matter is reported to one of those three staff, they will determine whether or not it is appropriate, or not appropriate, to institute a formal misconduct process.

¹ See section on whistleblowing below.

There is no legally binding specific guidance about the circumstances in which it is appropriate, or not appropriate, to institute a formal misconduct process. It is a matter of discretion and judgement. Judgements about whether or not to institute a formal misconduct process should be made consistent with the objects of the Act and the objects of the discipline regime in the APS. Procedural fairness obligations do not normally arise when deciding whether or not to institute a misconduct process. The whistleblower regime provides some exceptions.

There are a very broad range of factors which could properly be taken into account in determining whether or not to institute a formal misconduct process. A primary consideration will be the nature and seriousness of the alleged misconduct and whether or not there is a prima facie case. Consideration may be given to whether the allegations appear to have sufficient substance to warrant further investigation under the *Procedures for Determining Breaches of the Code of Conduct and Sanctions*.

As a general proposition, it is appropriate that a formal misconduct process not be instituted where the allegations are frivolous, vexatious, baseless, lacking in substance, or otherwise not considered to be sufficiently substantial or serious to warrant misconduct action.

If in a particular matter it is considered that an allegation is not sufficiently substantial or serious to warrant misconduct action, there should be sufficient consideration of the allegations to justify a decision not to institute a formal misconduct process.

In serious cases where any delay in acting raises a real risk that the safety of employees or clients may be compromised or evidence may be destroyed, it is appropriate to decide to commence misconduct proceedings as quickly as possible. Prompt consideration should also be given to suspending the employee from duty or assigning them to other duties.

In the event that an allegation is considered to be misleading, frivolous, vexatious or lacking in substance, action may be taken against the person who made the allegation.

Not all allegations need to be reported by a supervisor to the Auditor-General, Deputy Auditor General or the Executive Director, CMB for consideration of possible misconduct action. If a supervisor considers the matter is insufficiently serious to report it for consideration of misconduct action, or if it is reported and a decision is made not to institute misconduct action, there are a range of options open as alternatives to misconduct action, such as doing one or more of the following:

- no action required
- routine procedures for the resolution of workplace issues
- informal discussions between supervisor and the employee
- counselling of the employee
- formal direction and warning
- initiatives to eliminate workplace harassment
- referral to professional services eg. the Employee Assistance Programme

- requiring the employee to attend a training programme
- adverse performance assessment.

Where alternative action does not satisfactorily resolve concerns about an employee's conduct, and/or a further suspected breach occurs, careful consideration should be given to whether misconduct action should be commenced on the basis that a repeating or continuous pattern of suspected misconduct has developed, albeit that the initial incident(s) were relatively minor or did not warrant misconduct action.

Where an employee is dissatisfied with the handling of a report of an alleged breach of the Code, that employee may report the matter to a more senior person, normally the Executive Director Corporate Management Branch, Deputy Auditor-General or the Auditor-General.

Reporting of fraud

If an employee has reported suspected fraud the matter must be referred to the Executive Director Corporate Management Branch, Deputy Auditor-General or the Auditor-General.

On the basis of the information available, the matter may be referred to an external party qualified in investigating fraud.

A fraud investigation is to determine, among other things, whether the matter may be a criminal offence and if it falls within the ambit of the Commonwealth Fraud Control Guidelines 2011. See: <http://fraud.govspace.gov.au/>. In such cases the Australian Federal Police are to be notified.

Where an employee considers the matter to be of such sensitivity that they feel unable or unwilling to report the breach (or alleged breach) within the ANAO, they may report it to the *Public Service Commissioner*, the *Merit Protection Commissioner* or a person authorised by one of these Commissioners.

Conflict of interest

All staff need to be aware that their private interests, both financial and personal, could conflict with their official duties. The Code of Conduct requires all staff:

- to take all reasonable steps avoid any conflict of interest (real or apparent) in connection with their employment; and
- disclose any material personal interest of the employee in connection with their employment.

The term 'material personal interest' is not defined in the Code of Conduct however, advice from the Australian Public Service Commission is that for a personal interest of an employee to be considered 'material' it must be of a type that can give rise to a conflict of interest (or perceptions of a conflict of interest). It might arise out of a work, private or social context and may result from an employee's private share holdings the acceptance of gifts and/or hospitality or political activities. It may also arise through the employee's involvement in outside activities regardless of whether the activities are paid or unpaid.

The materiality of an interest will depend on the circumstances of each individual case and it will be a matter of judgement having regard to all the circumstances.

Criminal Offences

In the event a matter which may be a criminal offence is brought to the attention of the ANAO, necessary guidance will be sought by the delegate handling the matter on how to proceed with the allegations. This includes reporting the matter to the relevant police (depending on where the alleged criminal offence occurred).

Guidance on whether to investigate and determine whether there has been an alleged breach of the Code concurrently with an investigation into a criminal offence will be sought. In some circumstances, independent investigations of criminal offences by the police may need to take precedence.

Protection for reporting misconduct

It is likely to be a breach of the Code to take any action against employees for making truthful, good faith reports of suspected misconduct. The ANAO will not tolerate any victimisation or ill treatment of employees who have made legitimate reports of suspected misconduct. Employees should therefore feel free to report any breach (or suspected breach) of the Code without fear of recrimination or repercussion.

The ANAO will consider the circumstances of each report of suspected misconduct to determine if protective mechanisms, if required, could be put in place. These mechanisms may include but are not limited to:

- directing employees who are suspected of misconduct not to enter into any discussion about the incident/s with the employee reporting the misconduct or other witnesses
- directing the supervisor of the employee to take active steps to promote a workplace culture which recognises the importance of encouraging employees to report suspected misconduct •making special provision to ensure the fairness of any selection process involving the employees at risk of victimisation or discrimination by, for example, appointing an independent member to the selection committee
- developing and implementing a specially tailored protection plan in circumstances where there is a real risk to the physical security of employees, their families or property.

Procedures for Dealing with Whistleblowers Reports have been established as required by *Public Service Regulation 2.4* and are located on Audit Central ([hyperlink](#)).

Possible reassignment or suspension from duties

Where the Auditor-General or his/her delegate considers it would be in accordance with the Act and Regulations, they may suspend an employee from duties with or without remuneration.

The starting point for considering whether to suspend an employee is the public interest and the ANAO's interest, including in relation to its responsibilities under the Auditor-General's mandate.

Public interest considerations might operate in favour of suspension from duty where the alleged conduct poses a risk to any one of the following:

- the safety of members of the public (including ANAO customers or clients)
- the integrity of data about members of the public held by the ANAO, or other information required to be kept confidential by the Auditor-General Act
- the public revenue
- the confidence of the public in the APS as a whole, or the ANAO in undertaking its audit responsibilities.

An agency may choose suspension from duty where:

- there is a risk that an investigation of the allegation may be compromised by the employee's presence in the workplace
- there is a risk that the suspected misconduct may be repeated
- the allegations may have impaired the public's confidence in the ANAO's capacity to perform its functions

- there is a risk to the safety of other employees
- it would be inappropriate for the employee to continue to perform their usual duties until the allegations are resolved, and assignment of other duties is not appropriate or cannot be accommodated.

As an alternative to suspension, the Auditor-General or delegate may decide that it is more appropriate to temporarily re-assign the employee's duties. The power to do so is the general assignment of duties power in the PS Act (section 25).

The factors to take into account when deciding whether to reassign an employee's duties are similar to the factors relating to whether or not to suspend the employee—primarily that is, the public and the ANAO's interests. The maintenance of a cohesive and effective workplace is a relevant consideration in relation to the reassignment of duties. It may also be appropriate to have regard to the circumstances of the affected employee.

In order to ensure that all relevant facts are to hand before making a decision on reassignment, it is good practice to notify the employee of the proposal and invite comment before making a decision.

Employees who are assigned to different duties as an alternative to suspension from duty are not entitled to seek review of the reassignment decision under section 33 of the Act unless the reassignment involves a reduction in classification, relocation to another place, or being assigned duties that the employee cannot reasonably be expected to perform.

Determining the alleged breach

The Executive Director Corporate Management Branch, Deputy Auditor-General or the Auditor-General (the breach decision-maker) will determine any alleged breaches.

The breach decision-maker should undertake such inquiries as they consider to be necessary, and reach their conclusions with as little formality and as much expedition as a proper consideration of the matter allows. The steps to be taken will depend very much on the breach decision-maker's view of the circumstances of the case.

If the breach decision-maker considers they have sufficient evidence, they may proceed immediately to a preliminary decision.

Investigation

The breach decision-maker may seek the assistance of an investigator with matters including investigating the alleged breach, gathering evidence and making a report of recommended factual findings to the breach decision maker.

The investigator does not need to be an independent person as they will not make any final decisions (for example, they may have previous knowledge of the matter or of the parties).

As stated, any investigation is to be conducted fairly and as expeditiously as a proper consideration of the matter allows. The employee will usually be given a copy of the letter appointing the investigator and advising them of their terms of reference (as well as any later letters varying their terms of reference). The terms of reference will usually include a summary of the allegations and of the elements of the Code the employee is suspected of breaching. Employees the subject of misconduct action who are aware that an investigator has been appointed but who have not received a copy of this correspondence should notify HR as soon as possible.

All employees in the ANAO who are witnesses in a matter must ensure that they do not discuss or communicate about the matter or about their evidence with any other witnesses and must handle and store with great care any documents they are provided with (for example, copies of a record of their interview).

Prior to seeking statements from, or holding discussions with other persons about the suspected misconduct, those participating in the process should be provided with a copy of the *Procedures for Determining Breaches of the Code of Conduct and Sanctions* and these guidelines. This will provide them with information about what information will be provided and what their obligations are in dealing with information.

When an investigator is interviewing a witness they might reinforce this advice by using a form of words such as:

This is an investigation being carried out under procedures established by the Auditor-General under section 15(3) of the Public Service Act 1999 for the purpose of determining whether another employee has breached the APS Code of Conduct. A record of this meeting will be kept and will likely be released in whole or in part for the purposes of making that determination or as otherwise required by law including in any subsequent review process.

The investigator's report should include the investigator's findings on material questions of fact, reference to the evidence or other material on which the findings were based, details of the investigative process and the reasons for any recommended findings. The report might also include, as attachments, records that detail conversations or submissions in relation to the investigation. The report is to be provided in a timely manner to the breach decision-maker.

Support and opportunities to comment

If an investigation is undertaken, the employee the subject of the investigation should be given a reasonable opportunity to meet with the investigator if they wish to and will usually be given a copy of the investigation report prior to the breach decision-maker making a final determination.

Employees who are subject to a misconduct investigation may receive advice or assistance during that process, including having a support person present in any interview or in providing any oral submission. Support persons cannot be involved in the matter in any way (for example, as witnesses or staff working for or as managers of the employee under investigation). They must agree to keep all information about the process strictly confidential and to only communicate about

it to the employee they are providing support to. They may not act as advocates or speak on behalf of the person they are supporting.

Before a final decision in respect of the suspected breach of the Code is taken by the breach decision-maker and before a final decision is made in respect of any possible sanction, the affected employee must be given a reasonable opportunity to make a statement, in writing, in relation to the suspected breach or sanction within 7 calendar days (or any longer period as is allowed by the breach decision-maker or sanction delegate).

Employees who have made a written statement may also request to make an oral statement. Requests to make an oral statement must be made before time expires for the employee to submit their written statement and only if a written statement is submitted. Employees will be permitted to make an oral statement when the breach decision-maker or sanction delegate considers their request is reasonable. In deciding whether a request is reasonable, the breach decision-maker or sanction delegate may have regard to the availability of all parties, the length of time requested in which to make the statement and whether the request will cause undue delay.

Employees can obtain assistance from a representative (including a union representative) with preparing their written or oral statement. Oral statements must be delivered by the employee and not by a representative. An opportunity to make an oral statement is not an opportunity to question the breach decision-maker or sanction delegate.

Employees may exercise their right not to respond at all. The breach decision-maker and sanction delegate are not to draw any conclusions about the employee's guilt purely on the basis that the employee has elected not to make a written statement or oral submission.

Any request for an extension of time from an employee to make a statement should be considered by the breach decision-maker or sanction delegate on its merits, recognising the need to be fair to the employee, but also the requirement as to timeliness and the expectation that processes will be concluded expeditiously.

Process of Consideration

Consistent with the requirements of administrative law, the standard of proof for making any factual findings and determining whether a breach of the Code has occurred is proof on the balance of probabilities. This means that the breach decision-maker must be satisfied before making a finding of breach that a breach is more probable than not. The breach decision-maker must also be satisfied that procedural fairness has been afforded before making their final decision.

The breach decision-maker must not make a determination in relation to a suspected breach of the Code of Conduct by an APS employee or former APS employee unless reasonable steps have been taken to:

- (a) inform the employee of:

- (i) the details of the suspected breach (including any subsequent variation of those details); and
 - (ii) the sanctions that may be imposed on the employee under subsection 15(1) of the Act (this does not apply to former employees); and
- (b) give the employee a reasonable opportunity (usually seven calendar days) to make a written or an oral statement (or both) in relation to the suspected breach.

This requirement will usually be complied with by providing the employee with a copy of (and giving them an opportunity to respond to) the breach decision-maker's written preliminary decision on breach which sets out the preliminary factual findings on material questions of fact, refers to the evidence or other material on which those preliminary findings are based and gives the reasons on which the preliminary decision that there has been a breach of the Code is based, before making a determination on the issue of breach of the Code.

Action to be taken following a breach determination

Once a decision has been taken that the Code has been breached, a further decision is necessary as to which, if any, sanction(s) might be imposed. This does not apply where the employee is no longer employed in the ANAO, as a sanction cannot be imposed on a former employee.

If a decision is taken that no sanction should be imposed, there will most likely at least be a decision to undertake some form of counselling. Additional supervision and monitoring may also be applicable as an adjunct to a sanction.

The purpose of the Code is to ensure effective administration and to maintain public confidence in the integrity of the ANAO's processes and practices rather than to punish individuals. Sanctions should focus on reducing or eliminating the likelihood of future similar behaviour. Sanctions are intended to be proportionate to the nature of the breach, provide a clear message to the relevant employee that their behaviour was not acceptable, and act as a deterrent to the employee and others. Prior misconduct may also be relevant to the imposition of a sanction.

The available sanctions are:

- termination of employment
- reduction in classification
- reassignment of duties
- reduction in salary
- deductions from salary, by way of a fine (which must not be more than 2% of annual salary (refer Public Service Regulation 2.3), and
- a reprimand.

The sanction delegate will have records of the process conducted by the breach decision-maker and will be briefed with any other relevant information (for example, regarding prior misconduct or warnings). The sanction delegate will provide the employee with their preliminary decision on sanction, and invite the employee to provide comments before a final decision is made. Procedural fairness must be afforded by both the breach decision-maker and by the sanction delegate.

After making the final sanction decision the sanction delegate should ensure that their final decision is documented including the reasons for the decision and a date for the sanction(s) to come into effect and must ensure that the employee is given a copy of the final sanction decision.

Record keeping

Any records relating to an investigation and determination about an alleged breach of the Code is to be maintained in an "In-Confidence" file to be kept in a secure storage area.

Where a sanction is imposed on an employee for breaching the Code, an official *Conduct Records* file is to be created and placed on the employee's personal file. Each entry on the official *Conduct Record* is to set out the nature of the breach of the Code, the sanction(s) imposed and the date of the delegate's decision.

For the retention of records, reference should be made to the *Australian Archives' Administrative Function Disposal Authority* on records relating to misconduct.

Review

Employees are entitled to apply for a review of:

- (a) a determination that the affected employee has breached the Code; and/or
- (b) a sanction(s) imposed for breach of the Code.

Any application for review must be directed to the *Merit Protection Commissioner*. More information on review of actions is available on the *Australian Public Service Commission's* website www.apsc.gov.au.

Public Service Regulation 5.36 specifies that the making of an application for review does not operate to stay the action and, generally speaking, implementation of a decision will not be deferred.

A former APS employee who was not an SES employee at the time the employee's employment ceased, is entitled to review of a determination by the Auditor-General or authorised person that the affected employee has breached the Code (including by engaging in conduct referred to in subsection 15(2A) of the Act), even when the determination is made after the former employee's engagement has ceased.. However, the affected former employee must make the application for review to the Merit Protection Commissioner within 60 days of the determination. The affected

former employee also ceases to be entitled to review of the determination in certain circumstances (see reg 7.2A of the PS Regulations).

In the event that an employee is dismissed for a breach of the Code, then any review of the termination of the employee's employment could be made by way of application to the *Fair Work Commission* under the unfair dismissal provisions of the *Fair Work Act 2009* within 21 days of the dismissal.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Departmental Staff Misconduct

Senator: Ludwig

Question reference number: 182

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Please provide a copy of the departmental staff code of conduct.
2. Have there been any identified breaches of this code of conduct by departmental staff?
 - a. If yes, list the breaches identified, broken by staffing classification level.
 - b. If yes, what remedy was put in place to manage the breach? If no remedy has been put in place, why not?
 - c. If yes, when was the breach identified? By whom? When was the Minister made aware?
 - d. If yes, were there any legal ramifications for the department or staff member? Please detail.

Answer:

1. See attached documents.
2. During the period 14 September 2015 to 31 January 2016 there were no identified breaches of the Code of Conduct by ANAO staff.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Fee for services

Senator: Ludwig

Question reference number: 183

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Have any existing services provided by the department / agency moved from being free to a user-pay service? Have any additional fees been placed on existing services? If yes please provide a list and include:
2. Name of the fee and a short description of what it covers.
3. How much is the fee (and is it a flat fee or a percentage of the service).
4. The date the fee came into place.
5. Were any reviews requested, commenced or complemented into the benefits and drawbacks of attaching the fee to the service? If yes, please detail and provide a copy of the review.
6. What consultation was carried out before the fee was put into place?
7. How was the fee put into place (e.g. through legislation, regulation changes etc)?
8. What justification is there for the fee?

Answer:

Q1 to Q8. No services provided by the ANAO have moved from being free to a user-pay service.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Documents provided to minister

Senator: Ludwig

Question reference number: 184

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

1. Excluding policy or correspondence briefs, how many documents are provided to the Minister's office on a regular and scheduled basis? Including documents that are not briefs to the minister and do not require ministerial signature.
2. List those documents, their schedule and their purpose (broken down by ministerial signature and office for noting documents)
3. How are they transmitted to the office?
4. What mode of delivery is used (hardcopy, email) for those documents?
5. What level officer are they provided to in the minister's office?

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Merchandise or promotional material

Senator: Ludwig

Question reference number: 185

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department purchased any merchandise or promotional material?
2. List by item, and purpose for each item, including if the material is for a specific policy or program or for a generic purpose (note that purpose)
3. List the cost for each item
4. List the quantity of each item
5. Who suggested these material be created?
6. Who approved its creation?
7. Provide copies of authorisation
8. When was the Minister informed of the material being created?
9. Who created the material?
10. How was that person selected?
11. How many individuals or groups were considered in selecting who to create the material?

Answer:

Nil to all questions. The ANAO has not purchased any merchandise or promotional material.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Domain usage

Senator: Ludwig

Question reference number: 186

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Please provide a breakdown of the domain usage for the 50 most utilised (by data sent and received), unique (internet) domains accessed by the minister's office. Please provide:
 - a. Domain name of the website being accessed (or IP address if the Domain is unavailable in the tracking system).
 - b. Amount of data downloaded and uploaded to the site.
 - c. Number of times the site was accessed.

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Ministerial website

Senator: Ludwig

Question reference number: 187

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How much has been spent on the Minister's website?
 - a. List each item of expenditure and cost
2. Who is responsible for uploading information to the Minister's website?
3. Have any departmental staff been required to work outside regular hours to maintain the Minister's website? Please detail.

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Report Printing

Senator: Ludwig

Question reference number: 188

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Have any reports, budget papers, statements, white papers or report-like documents printed for or by the department been pulped, put in storage, shredded or disposed of?
2. If so please give details; name of report, number of copies, cost of printing, who order the disposal, reason for disposal.

Answer:

1. Until October 2015, the ANAO used an external offsite storage facility to store additional copies of Audit Reports, Better Practice Guides, Annual Reports and miscellaneous publications. There have been no deposits to the offsite storage facility since 2013. In October 2015, the ANAO authorised the offsite storage facility to dispose of 745 standard Archive boxes of publications.

2. The publications disposed of include surplus copies of:

- Audit Reports from 2004–2013
- Better Practice Guides from 2007–2012
- Audit Work Programs from 2008–2011
- Annual Reports from 2009–2011
- Business Plans from 2003–2004

The disposal was authorised by the ANAO Executive Board of Management on the basis that these publications were: out-of-date; surplus to requirements; and available on the ANAO website. This was part of a long-term cost-saving arrangement to remove ongoing storage costs.

As from 3 December 2015, the ANAO introduced a ‘digital first’ policy, where the number of hard copy reports printed were reduced to meet the number required to satisfy Parliamentary tabling requirements (reducing the number of printed copies per report from 550 to 200). The ANAO no longer distributes hard copies of audit reports to the public sector or to other interested parties, and the ANAO will be launching a new website in response to increasing community expectations for online content.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: FoI Requests

Senator: Ludwig

Question reference number: 189

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many requests for documents under the FOI Act have been received?
2. Of these, how many documents have been determined to be deliberative documents?
3. Of those assessed as deliberative documents:
 - a. For how many has access to the document been refused on the basis that it would be contrary to the public interest?
 - b. For how many has a redacted document been provided?

Answer:

Nil to all questions. The Auditor-General is exempt from the provisions of the *Freedom of Information Act 1982*.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Ministerial motor vehicle

Senator: Ludwig

Question reference number: 190

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the minister been provided with or had access to a motor vehicle? If so:
 - a. What is the make and model?
 - b. How much did it cost?
 - c. When was it provided?
 - d. Was the entire cost met by the department? If not, how was the cost met?
 - e. What, if any, have been the ongoing costs associated with this motor vehicle? Please include costs such as maintenance and fuel.
 - f. Are these costs met by the department? If not, how are these costs met?
 - g. Please provide a copy of the guidelines that determine if a minister is entitled to a motor vehicle.
 - h. Have these guidelines changed during the specified period of time? If so, please detail.
 - i. Please provide a copy of the guidelines that determine how a minister is to use a motor vehicle they have been provided with. Please include details such as whether the motor vehicle can be used for personal uses.
 - j. Have these guidelines changed during the specified period of time? If so, please detail.

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Ministerial staff vehicles (non MoPS)

Senator: Ludwig

Question reference number: 191

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Outside of MoPS Act entitlements, have any of the Minister's staff been provided with a motor vehicle? If so:
 - a. What is the make and model?
 - b. How much did it cost?
 - c. When was it provided?
 - d. Was the entire cost met by the department? If not, how was the cost met?
 - e. What, if any, have been the ongoing costs associated with this motor vehicle? Please include costs such as maintenance and fuel.
 - f. Are these costs met by the department? If not, how are these costs met?
 - g. Please provide a copy of the guidelines that determine this entitlement to a motor vehicle.
 - h. Have these guidelines changed during the specified period? If so, please detail.
 - i. Please provide a copy of the guidelines that determine how a motor vehicle is to be used that they have been provided with. Please include details such as whether the motor vehicle can be used for personal uses.
 - j. Have these guidelines changed during the specified period? If so, please detail.

Answer:

Nil to all questions. The Auditor-General is an independent officer of the Australian Parliament who is assisted by the Australian National Audit Office under the enabling legislation of the *Auditor-General Act 1997*. While the ANAO sits within the Prime Minister and Cabinet Portfolio for administrative purposes, it does not have a responsible Minister in the sense outlined in the question.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Lobbyist register meetings

Senator: Ludwig

Question reference number: 192

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. List all interactions between the department/agency with any representative listed on the lobbyist register
2. List the participants in the meeting, the topic of the discussion, who arranged or requested the meeting, the location of the meeting
3. List all interactions between the Minister/parliamentary Secretary and/or their offices with any representative listed on the lobbyist register during the specified period. List the participants in the meeting, the topic of the discussion, who arranged or requested the meeting, the location of the meeting

Answer:

Nil to all questions.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Workplace Assessment

Senator: Ludwig

Question reference number: 193

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How much has been spent on workplace ergonomic assessments?
 - a. List each item of expenditure and cost
2. Have any assessments, not related to an existing disability, resulted in changes to workplace equipment or set up?
3. If so, list each item of expenditure and cost related to those changes

Answer:

1. \$7,838.00 (GST Inclusive) has been spent on workplace ergonomic assessments.
 - a. Twenty workstation assessments at a total cost of \$7,838.00 (GST Inclusive).
2. Yes, equipment has been issued to staff without existing disabilities, following a recommendation by an ergonomist following a workplace assessment, or following advice from an individual staff member's medical practitioner.
3. The items of expenditure and cost related to those changes are:
 - a. Two ergonomic chairs at a cost of \$1,274.00 (GST Inclusive).
 - b. Five ergonomic keyboards at a cost of \$660.00 (GST Inclusive).
 - c. Two ergonomic mice at a cost of \$262.00 (GST Inclusive).
 - d. Two telephone headsets at a cost of \$330.00 (GST Inclusive).
 - e. Two document holders at a cost of \$228.00 (GST Inclusive).
 - f. One varidesk at a cost of \$675.00 (GST Inclusive).

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Freedom of information stats

Senator: Ludwig

Question reference number: 194

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. How many FOI requests were received to date?
2. How many of those requests were finalised within the regular timeframes provided under the FOI Act?
3. How many of those requests were granted an extension of time under s 15AA of the FOI Act?
4. How many of those requests were granted an extension of time under s 15AB of the FOI Act?
5. How many of those requests were finalised out of time?

Answer:

Nil to all questions. The Auditor-General is exempt from the provisions of the *Freedom of Information Act 1982*.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Multiple Tenders

Senator: Ludwig

Question reference number: 195

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. List any tenders that were re-issued or issued multiple times:
 - a. Why were they re-issued or issued multiple times?
 - b. Were any applicants received for the tenders before they were re-issued or repeatedly issued?
 - c. Were those applicants asked to resubmit their tender proposal?

Answer:

1. The ANAO did not have any tenders that were re-issued or issued multiple times.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Market Research

Senator: Ludwig

Question reference number: 196

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. List any market research conducted by the department/agency:
 - a. List the total cost of this research
 - b. List each item of expenditure and cost, broken down by division and program
 - c. Who conducted the research?
 - d. How were they identified?
 - e. Where was the research conducted?
 - f. In what way was the research conducted?
 - g. Were focus groups, round tables or other forms of research tools used?
 - h. How were participants for these focus groups et al selected?
 - i. How was the firm or individual that conducted the review selected?
 - j. What input did the Minister have?
 - k. How was it approved?
 - l. Were other firms or individuals considered? If yes, please detail.

Answer:

1(a)-(f). The below table provides details on the market research activities that was conducted in the period from 14 September 2015 to 31 January 2016

Company	Service Provided	Payments
ORIMA Research	Online survey to assist performance audit	26,925.00
ORIMA Research	Online survey to assist performance audit	28,275.00

The market research services provided relate to the carrying out of online surveys relating to the ANAO's clients.

1(g). No focus groups, round tables or other forms of research tools were used.

1(h). Nil response. Refer to response for 1(g).

1(i-1). The procurement of market research services was conducted in accordance with the Commonwealth Procurement Rules to achieve value for money for the Commonwealth. There was no input from the Minister in relation to the procurement.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Departmental Upgrades

Senator: Ludwig

Question reference number: 197

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department/agency engaged in any new refurbishments, upgrades or changes to their building or facilities?
 - a. If so, list these
 - b. If so, list the total cost for these changes
 - c. If so, list the itemised cost for each item of expenditure
 - d. If so, who conducted the works?
 - e. If so, list the process for identifying who would conduct these works
 - f. If so, when are the works expected to be completed?

Answer:

1. Nil to all questions. The ANAO has not engaged in any refurbishments, upgrades or changes to its buildings facilities or facilities.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Wine Coolers

Senator: Ludwig

Question reference number: 198

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department/agency purchased or leased any new wine coolers, or wine fridges or other devices for the purpose of housing alcohol beverages, including Eskies?
 - a. If so, list these
 - b. If so, list the total cost for these items
 - c. If so, list the itemised cost for each item of expenditure
 - d. If so, where were these purchased
 - e. If so, list the process for identifying how they would be purchased
 - f. If so, what is the current location for these items?
 - g. If so, what is the current stocking level for each of these items?

Answer:

Nil to all questions. The ANAO has not purchased or leased any wine coolers, wine fridges or other devices for the purpose of housing alcoholic beverages, including eskies.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Office Plants

Senator: Ludwig

Question reference number: 199

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department/agency purchased or leased any office plants?
 - a. If so, list these
 - b. If so, list the total cost for these items
 - c. If so, list the itemised cost for each item of expenditure
 - d. If so, where were these purchased
 - e. If so, list the process for identifying how they would be purchased
 - f. If so, what is the current location for these items?

Answer:

Nil to all questions. The ANAO has not purchased or leased any new office plants.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Office recreation facilities

Senator: Ludwig

Question reference number: 200

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 1

Question:

Since the change of Prime Minister on 14 September 2015:

1. Has the department/agency purchased or leased or constructed any office recreation facilities, activities or games (including but not limited to pool tables, table tennis tables or others)?
 - a. If so, list these
 - b. If so, list the total cost for these items
 - c. If so, list the itemised cost for each item of expenditure
 - d. If so, where were these purchased
 - e. If so, list the process for identifying how they would be purchased
 - f. If so, what is the current location for these items?
 - g. If so, what is the current usage for each of these items?

Answer:

1. Nil to all questions. The ANAO has not purchased, leased or constructed any office recreation facilities, activities or games (including but not limited to pool tables, table tennis tables or others).

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Building Lease Costs

Senator: Ludwig

Question reference number: 201

Type of question: WRITTEN

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. What has been the total cost of building leases for the agency / department?
2. Please provide a detailed list of each building that is currently leased. Please detail by:
 - a. Date the lease agreement is active from.
 - b. Date the lease agreement ends.
 - c. Is the lease expected to be renewed? If not, why not?
 - d. Location of the building (City and state).
 - e. Cost of the lease.
 - f. Why the building is necessary for the operations of the agency / department.
3. Please provide a detailed list of each building that had a lease that was not renewed during the specified period. Please detail by:
 - a. Date from which the lease agreement was active.
 - b. Date the lease agreement ended.
 - c. Why was the lease not renewed?
 - d. Location of the building (City and state).
 - e. Cost of the lease.
 - f. Why the building was necessary for the operations of the agency / department.
4. Please provide a detailed list of each building that is expected to be leased in the next 12 months. Please detail by:
 - a. Date the lease agreement is expected to become active.
 - b. Date the lease agreement is expected to end.
 - c. Expected location of the building (City and state).
 - d. Expected cost of the lease.

- (1) Has this cost been allocated into the budget?
- e. Why the building is necessary for the operations of the agency / department.
- 5. For each building owned or leased by the department:
 - a. What is the current occupancy rate for the building?
 - b. If the rate is less than 100%, detail what the remaining being used for.

Answer:

1. The ANAO has one accommodation lease in the ACT. Lease expenditure totalling \$1,836,715 (GST exclusive) was incurred from 14 September 2015 and January 2016.
2. In relation to the one accommodation lease held by the ANAO:
 - a. The lease commenced on 23 September 2008.
 - b. The lease expires on 22 September 2018.
 - c. At this stage no decision has been made on future leasing options. The ANAO plans to explore various alternatives prior to lease expiry and will ensure any new lease arrangement is fit for purpose and represents value for money for the Commonwealth.
 - d. Barton, ACT
 - e. The ANAO's current lease cost is \$336,731 per month inclusive of GST. Rent is increased each September at a rate commensurate with CPI.
 - f. The current accommodation is used for delivery of Auditor-General's work program
3. Nil.
4. The ANAO does not plan to enter any lease arrangements in the next 12 months.
5. In relation to the one accommodation lease held by the ANAO:
 - a. The current occupancy rate for the ANAO is 94.3%.
 - b. The ANAO subleases surplus space equal to 5.7% of the building.

Senate Finance and Public Administration Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
ADDITIONAL BUDGET ESTIMATES 2015-16

Prime Minister and Cabinet Portfolio

Department/Agency: Australian National Audit Office

Outcome/Program:

Topic: Government advertising/marketing

Senator: Ludwig

Question reference number: 202

Type of question: Written

Date set by the committee for the return of answer: Friday, 1 April 2016

Number of pages: 2

Question:

Since the change of Prime Minister on 14 September 2015:

1. How much has been spent by the department / agency on marketing?
 - a. List the total cost
 - b. List each item of expenditure and cost
 - c. List the approving officer for each item.
 - d. Detail the ministerial or ministerial staff involvement in the commissioning process.
 - e. Which firm provided the marketing?
2. How much has been spent by the department / agency on government advertising (including job ads)?
 - a. List the total cost
 - b. List each item of expenditure and cost
 - c. Where the advertising appeared
 - d. List the approving officer for each item.
 - e. Detail the ministerial or ministerial staff involvement in the commissioning process.
 - f. Detail the outlets that were paid for the advertising.
3. What government advertising is planned for the rest of the financial year?
 - a. List the total expected cost.
 - b. List each item of expenditure and cost.
 - c. Where the advertising will appear
 - d. List the approving officer for each item.
 - e. Detail the ministerial or ministerial staff involvement in the commissioning process.
 - f. Detail the outlets that have been or will be paid for the advertising.

Provide copies of approvals for advertising, including but not limited to, approvals made by the Prime Minister or his delegate, the Minister or their delegate, or the Department or their delegate.

Answer:

1.
 - a. No cost was incurred for marketing for the period specified.
 - b. See response 1.1.
 - c. See response 1.1.
 - d. See response 1.1.
 - e. See response 1.1.
2.
 - a. The total cost spent by the ANAO on government advertising for the specified period is \$13,749.89.
 - b. Each expenditure item and cost:
 - \$4839.39 - Australia Financial Review advertisement, recruitment for Senior Executive Service Band 2 position.
 - \$8909.50 – annual advertising fees for the Public Service Gazette.
 - c. The Australian Financial Review and the Public Service Gazette.
 - d. Approving officers:
 - Mr Grant Hehir, Auditor-General for approval as delegate under the Department of Finance Resource Management Guide No. 40 – Recruitment Advertising Policy and Ms Christine King, Senior Director HR for expenditure approval
 - Ms Christine King, Senior Director HR
 - e. There was no ministerial or ministerial staff involvement for these advertisements.
 - f. Outlets that have been paid for the advertising:
 - The Australian Financial Review via Dentsu Mitchell
 - The Australian Public Service Commission
3.
 - a. The ANAO has \$2,664.11 remaining on a Purchase Order with Dentsu Mitchell for any remaining recruitment related advertising expenses for the 2016 financial year. No additional costs are planned.
 - b. Any additional advertising will be recruitment related and managed on an ad-hoc basis.
 - c. See response 3.2.
 - d. See response 3.2.
 - e. No ministerial or ministerial staff involvement is expected.
 - f. All advertising will be paid to Dentsu Mitchell.