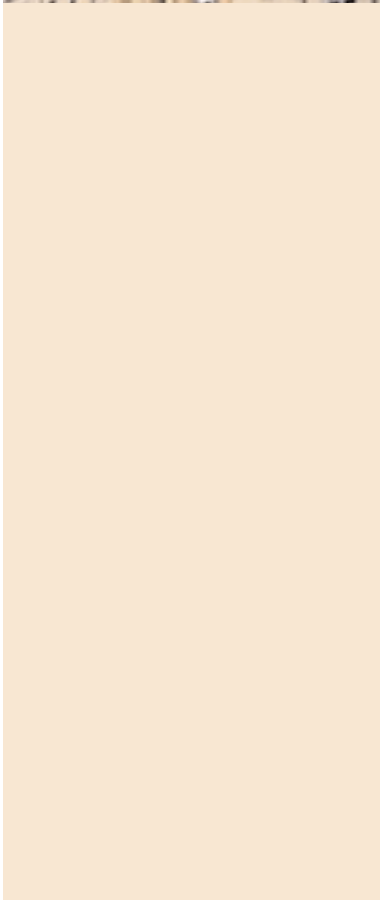
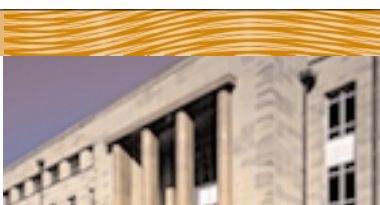


APPENDICES



APPENDIX A ADVERTISING AND MARKET RESEARCH

During 2000–01, Finance spent a total of \$365,815 on advertising. This expenditure can be disaggregated into the following categories in accordance with section 311A of the *Commonwealth Electoral Act 1918*.

Advertising Agencies	Purpose	Amount Paid
Advertising Investment Services	Recruitment and Tender Notices	\$123,773
Hoban Recruitment	Graduate Recruitment Advertising	\$34,107
Mirror Australia	Public Notices	\$1,620
PSMPC	Recruitment Advertising	\$2,500
Starcom Worldwide (Aust) Pty Ltd	Recruitment Advertising and Tender Notices	\$31,743
Management Consortium	Recruitment Advertising	\$3,398
Pacific Access Pty Ltd	Printed and Online Telephone Directory Listing for Government Info Shops	\$116,943
The Good Guide Group	Graduate Recruitment Advertising	\$9,000
Market Research Organisations	Purpose	Amount Paid
Colmar Brunton Social Research	Market Research of Comcover Members	\$19,583
Minter Research	Market Research on the Government Online Directory, and the Commonwealth Government Directory	\$23,148
	Total	\$365,815

APPENDIX B CONSULTANTS

Policy and Probity

In line with the principles of the Commonwealth Procurement Guidelines (CPGs), Finance's policy on selection and engagement of consultants is based on the core principles of:

- value for money;
- open and effective competition;
- ethics and fair dealing;
- accountability and reporting;
- national competitiveness and industry development;
- support for other Commonwealth policies.

The inclusion of these guidelines in the Chief Executive Instructions (CEIs) emphasises their importance and the need for compliance. In addition, our Internal Audit Unit conducts probity reviews to ensure compliance with the general probity principles of the CPGs and CEIs.

During 2000–01 Finance engaged a total of 211 consultants at \$10.8 million. This figure includes consultancies under \$10,000 (total \$445,735), which are not required to be listed in the following table. The figures for 2000–01 have been prepared on an accrual basis. Finance earned some \$807,383 on an accrual basis for consultancy services in 2000–01.

Panel Arrangements

In addition to the CTC panels (ceased in February 2001) available to all Government agencies, Finance had four of its own panels in 2000–01 for accountancy services, actuarial services, communications and legal services. Panels were selected from open tenders, with independent advice and probity audits provided during the selection processes. Periodic reviews of the panels will also be undertaken.

Selection Method categories

The selection methods used by consultancies are categorised under each of the following headings:

Open Tender

- Public tenders were sought from the marketplace (request for proposal, request for tender, expressions of interest). This category included a two-stage tendering process, where the first stage sought expressions of interest in an open forum.

Select Tender

- Tenders were invited from a short list of competent supplier/s. This category included a two-stage tendering process where the first stage was invited from a shortlist. It also included negotiated offers or offers sought from sole suppliers.

Panel

- Tenders were sought from suppliers who had pre-qualified to supply to Government. This category included standing offers and supplier panels.

Justification Categories

The justification categories listed below are broad, and it is possible that a consultancy might reasonably belong in more than one category.

Code	Justification
Tech.	Need for access to the latest technology
Skill	Need for specialised skills
Ind.	Need for an independent view
Change	Need for a change agent or facilitator

Outcome 1: Sustainable Government Finances

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
Access Economics Pty Ltd	Scoping work for the Private Financing Initiative	\$25,500	Select Tender	Skill
Arthur Andersen	Advice to CSAU on GBE issues	\$38,115	Panel	Skill
Arthur Andersen	Scoping study—Review of the Defence Estate Organisation	\$56,620	Panel	Ind.
Arthur Andersen	Defence Property Review—Review of Defence Holdings	\$81,201	Panel	Tech.
Australian Government Solicitor	Legal advice for CSAU	\$18,765	Select Tender	Skill
Australian Government Solicitor	Legal services, specifically FOI expertise	\$25,508	Panel	Skill
BRWMTS Group	Assessment of Defence IT systems and financial business process	\$37,656	Panel	Skill
Health Outcomes International Pty Ltd	Assistance in the evaluation of the COAG Initiatives on the use of illicit drugs	\$84,741	Open Tender	Skill
Health Outcomes International Pty Ltd	Extension of the evaluation of the COAG Initiatives on the use of illicit drugs	\$109,091	Open Tender	Skill
Hewitt Consulting Pty Ltd	Advice for the CSAU on GBEs	\$126,000	Select Tender	Skill
KPMG Corporate	Review of the Commonwealth Property Principles	\$32,829	Panel	Ind.
Macquarie Bank Ltd	Advice on a GBE interim financing facility	\$30,000	Select Tender	Skill
Phillips Fox	Specialist advice on the Commonwealth shareholder oversight	\$21,564	Panel	Skill
PricewaterhouseCoopers	Independent review of agencies costing and budgeting systems	\$57,506	Panel	Ind.

Outcome 1: Sustainable Government Finances (continued)

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
PricewaterhouseCoopers	Accrual Information Management System performance review	\$90,000	Open Tender	Ind.
Professional Public Relations Pty Ltd	Public relations and speech writing for Budget Group	\$30,420	Panel	Skill
Professional Public Relations Pty Ltd	Communications assistance for Centenary of Federation activities	\$41,890	Panel	Skill
Professional Public Relations Pty Ltd	Public relations for Budget Group	\$45,688	Panel	Skill
RTM Pty Ltd	Design and production of Pricing Reviews materials	\$10,186	Panel	Skill
RTM Pty Ltd	Design and development of Pricing Review and Benchmarking website	\$11,620	Panel	Tech.
Timbelle Pty Ltd	Advice to the Humphry Review and IT Outsourcing principles	\$11,250	Select Tender	Ind.
Walter and Turnbull	Audit of 1999–2000 Capital-use Charges payments	\$16,231	Panel	Ind.

Outcome 2: Improved and More Efficient Government Operations

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
Acumen Alliance (ACT) Pty Ltd	Business advice for Info Products Branch	\$139,403	Panel	Ind.
AIMA Training & Consultancy Services Ltd	Review of the Australian Government Index of Publications function	\$22,500	Select Tender	Ind.
Amaroo Associates Pty Ltd	Financial advice on the Comcover program	\$52,992	Panel	Skill
Arthur Andersen	Whole-of-government vehicle lease calculations	\$36,000	Panel	Skill
Arthur Andersen	Property studies for New Delhi and Beijing Chanceries	\$76,138	Select Tender	Skill
Arthur Andersen	Review of PIC/CTC guidance material	\$113,825	Select Tender	Skill
Arthur Andersen	Accounting, financial and commercial advice in relation to fleet leasing matters	\$815,571	Select Tender	Skill
Australian Government Solicitor	Legal advice regarding superannuation issues	\$10,000	Panel	Skill
Australian Government Solicitor	Assisting in the development of the FMLA Bill	\$11,955	Panel	Skill

Outcome 2: Improved and More Efficient Government Operations (continued)

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
Australian Government Solicitor	Legal advice and representation for Commercial and Projects Branch	\$13,489	Panel	Skill
Australian Government Solicitor	Legal services for contract dispute with Hookway Aerospace Pty Ltd	\$18,235	Panel	Skill
Australian Government Solicitor	Legal advice and representation for Commercial and Projects Branch	\$26,963	Panel	Skill
Australian Government Solicitor	Legal advice and representation for Comcover	\$39,008	Panel	Skill
Australian Government Solicitor	Legal services for the Remuneration Tribunal Secretariat	\$58,328	Panel	Skill
Australian Government Solicitor	Legal advice and representation for Commercial and Projects Branch	\$58,933	Panel	Skill
Australian Government Solicitor	Probity adviser on fleet leasing matters	\$84,769	Panel	Ind.
Australian Government Solicitor	Legal advice and representation for Commercial and Projects Branch	\$157,723	Panel	Skill
Australian Government Solicitor	Legal advice and representation for Commercial and Projects Branch	\$183,884	Panel	Skill
Blake Dawson Waldron	Legal advice and representation for Commercial and Projects Branch	\$10,294	Panel	Skill
Blake Dawson Waldron	Legal services for the Remuneration Tribunal Secretariat	\$12,670	Panel	Skill
Blake Dawson Waldron	Technical support for the Australian Antarctic Southern Ocean Profiling Project	\$15,158	Panel	Skill
Blake Dawson Waldron	Assistance with the Request for Tender for actuarial services	\$17,136	Select Tender	Skill
Blake Dawson Waldron	Legal services for GITC3	\$17,716	Panel	Skill
Blake Dawson Waldron	Legal services for Departmental online services	\$20,448	Panel	Skill
Blake Dawson Waldron	Legal advice for property strategic alliance project	\$20,669	Panel	Skill
Blake Dawson Waldron	Legal advice and representation for Business Services Group	\$24,366	Panel	Skill
Blake Dawson Waldron	Legal services for Info Products Branch	\$41,039	Panel	Skill
Blake Dawson Waldron	Legal advice and representation for Commercial and Projects Branch	\$206,034	Panel	Skill
Brian Nolan	Specialist legislative drafting advice for Competitive Neutrality and <i>Lands Acquisition Act 1989</i>	\$34,049	Select Tender	Skill
Cogent Business Solutions	Development and implementation of Comcover Risk Management performance benchmarking system (Phase 1)	\$10,345	Panel	Skill

Outcome 2: Improved and More Efficient Government Operations (continued)

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
Cogent Business Solutions	Development and implementation of Comcover Risk Management performance benchmarking system (Phase 2)	\$30,273	Panel	Skill
Cogent Business Solutions	Final development and implementation of Comcover Risk Management performance benchmarking system	\$117,591	Panel	Skill
Colmar Brunton Social Research	Develop and undertake annual survey of all Comcover members	\$19,583	Select Tender	Skill
ETC Electronic Trading Concepts	Independent advice on appropriate e-Procurement solution for Finance	\$53,418	Select Tender	Skill
Jardine Australian Insurance Brokers	Underwriting advisory service for Comcover's members	\$101,638	Open Tender	Skill
KLA Australia Pty Ltd	Business advice on IT initiatives	\$96,173	Panel	Ind.
Minter Ellison	Legal services for the Remuneration Tribunal Secretariat	\$13,693	Panel	Skill
Minter Ellison	Legal advice and representation for Commercial and Projects Branch	\$32,785	Panel	Skill
Minter Ellison	General legal advice and advice on procurement process for Comcover's outsourced functions	\$132,977	Panel	Skill
Minter Ellison	Legal advice for the Australian Antarctic Southern Ocean Profiling Project	\$170,986	Panel	Skill
Minter Ellison	Legal advice on fleet leasing matters	\$1,798,872	Panel	Skill
Minter Research	Market analysis for the Commonwealth Government Directory services	\$23,148	Panel	Ind.
NSW Premier's Department (NSW Government Actuary)	Assistance with a request for tender regarding actuarial services	\$22,498	Select Tender	Skill
Oxley Corporate Finance Limited	Accounting, financial and commercial advice in relation to fleet leasing matters	\$252,859	Select Tender	Skill
Phillips Fox	Legal advice and representation for Commercial and Projects Branch	\$12,930	Panel	Skill
Professional Public Relations Pty Ltd	Re-development of web pages	\$11,644	Panel	Skill
Professional Public Relations Pty Ltd	Specialist public relations advice for the Remuneration Tribunal	\$16,703	Panel	Skill
PSI Consulting Pty Ltd	Assistance in respect of new actuarial services tender	\$28,900	Select Tender	Skill

Outcome 2: Improved and More Efficient Government Operations (continued)

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
RTM Pty Ltd	Re-development of web pages	\$13,140	Panel	Skill
Senatore Brennan Rashid	Accounting and financial investigations for Commercial and Projects Branch	\$34,001	Select Tender	Ind.
Sinclair Knight Merz Pty Ltd	Support for Australian Antarctic Southern Ocean Profiling Project	\$285,640	Select Tender	Skill
Tillinghast Towers Perrin	Provision of actuarial advice to Comcover	\$163,863	Panel	Skill

Outcome 3: Efficiently Functioning Parliament

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
Blake Dawson Waldron	Legal services for the Parliamentary Systems Suite	\$18,328	Panel	Skill
Blake Dawson Waldron	Legal services on IT contract for standard operating environment in electorate offices	\$18,337	Panel	Skill
Blake Dawson Waldron	Provision of general legal advice to COMCAR	\$40,251	Panel	Ind.
Deloitte Consulting	Review of assets configuration and reports within SAP for M&PS	\$21,000	Select Tender	Skill
Ernst & Young	Business advice on the Parliamentary Systems Suite	\$15,390	Panel	Ind.
GRS Consultants Pty Ltd	Manage development of IT strategic plan delivery of Parliamentary entitlements	\$118,800	Select Tender	Skill
Heaney Blaylock and Associates	Provision of industrial relations advice for COMCAR	\$26,590	Panel	Skill
KE and AM Forward	Independent investigation on workplace relations for ACT COMCAR depot	\$10,705	Select Tender	Ind.
Miller Group Consulting Pty Ltd	Review of Electorate Officer Classifications	\$95,984	Panel	Ind.
MPB Chartered Accountants	To undertake a review of the fringe benefits provided within the M&PS Group within Finance	\$26,000	Select Tender	Ind.
PricewaterhouseCoopers	Develop IT strategic plan for support of Senators and Members of Parliament	\$79,250	Select Tender	Skill
Professional Public Relations Pty Ltd	Public relations and media strategies for M&PS	\$15,000	Panel	Skill
The Communication Company	Communications strategy for the COMCAR Certified Agreement	\$13,000	Panel	Skill
Tennants Lawyers	Independent advice for the negotiation of the COMCAR Drivers' Certified Agreement	\$47,560	Select Tender	Ind.

Cross Outcome

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
Altus Consulting Pty Ltd	Graduate Development Centre Project	\$67,829	Select Tender	Skill
Arthur Andersen	Development and implementation of risk management framework in Finance	\$39,846	Select Tender	Skill
Arthur Andersen	Assessment of business and integrity risks; develop revised fraud prevention and control framework	\$182,000	Open Tender	Ind.
ASIO	Accredited protective security risk review including a national security threat assessment of Finance	\$56,810	Select Tender	Ind.
Australian Government Actuary	Actuarial analysis and reporting for Superannuation Branch	\$191,187	Select Tender	Skill
Blake Dawson Waldron	Legal and strategic advice for Senate inquiry into APS employment	\$15,330	Panel	Skill
Blake Dawson Waldron	Legal advice on reconciliation and new business element supporting IBM-GSA relationship	\$341,274	Panel	Ind.
Ernst & Young	Review of Accounts Payable and Purchasing Process	\$29,670	Panel	Change
Ernst & Young	Annual contract performance review for KFPW and OSA outsourced contracts	\$38,340	Panel	Ind.
Ernst & Young	Development of internal service level agreements and an Overhead Allocation model	\$67,592	Panel	Ind.
Ernst & Young	Business advice on reconciliation and new business element supporting IBM-GSA relationship	\$421,723	Panel	Ind.
Generon	Sustainable leadership program including analysis of Finance Leadership requirements	\$133,669	Select Tender	Skill
Hay Group	360-degree feedback—Candidates for the FLP	\$18,666	Select Tender	Skill
HOBAN Recruitment	Provision of Graduate Recruitment intake for 2002	\$64,278	Select Tender	Skill
Howard Partners Pty Ltd	Develop a communications strategy for Finance	\$51,125	Select Tender	Ind.
IT Newcom Pty Ltd	Business advice on IT outsourcing	\$43,000	Select Tender	Ind.

Cross Outcome (continued)

Consultant	Nature and Purpose of Consultancy	Expenditure	Selection Method	Justification Code
Mercadier Consulting	Development of externally reported performance information	\$11,200	Select Tender	Skill
Powerlan the Brave Group Pty Ltd	Graphic and intranet design and production	\$15,214	Select Tender	Skill
PricewaterhouseCoopers	Technical advice and project management implementation for GST implementation	\$343,764	Panel	Skill
Professional Public Relations Pty Ltd	Development of issues and emergency management protocols	\$24,591	Panel	Skill
Professional Public Relations Pty Ltd	Annual Report—Writing/Editing	\$32,718	Panel	Skill
RTM Pty Ltd	Annual Report—Design/Publication	\$56,786	Panel	Skill
Strategic Planning Group	Development and implementation of risk management framework in Finance	\$12,365	Select Tender	Skill
The Communication Company	Provide a communications strategy and events plan for a leadership program	\$12,000	Panel	Skill
The Rowlands Company	Provide communication strategy and event management for work and home life balance	\$20,341	Select Tender	Skill
Towers Perrin	Actuarial analysis and reporting for Superannuation Branch	\$607,249	Select Tender	Skill
UNISYS	Technical advice on data extraction and reporting capabilities	\$43,430	Select Tender	Skill
William M Mercer Pty Ltd	Actuarial analysis and reporting for Superannuation Branch	\$63,000	Select Tender	Skill

APPENDIX C COMPETITIVE TENDERING AND CONTRACTING

Finance finalised one new CTC agreement during 2000–01, for the management of the global non-Defence Property portfolio. This strategic alliance with PricewaterhouseCoopers Process Solutions Pty Ltd was signed on 3 August 2000. The strategic alliance runs for five years and has a total value of \$88 million. It is anticipated that this arrangement will result in savings of \$74 million.

During 2000–01 reviews of some existing CTC arrangements were undertaken in accordance with contractual provisions and to ensure the continuing contract life cycle, service levels and obligations would match Finance’s business needs. As a result of an independent review, our facilities management contract with KFPW Pty Ltd was extended for 12 months in accordance with the terms of that contract.

Through past market testing exercises and letting of contracts, Finance has a number of arrangements in place which deliver savings and increase levels of service.

Finance’s Main Contract Arrangements Include:

IBM Global Services Australia	IT infrastructure support
Computer Sciences Corporation Australia Pty Ltd	IT infrastructure support
KFPW Pty Ltd	Facilities management
Outsource Australia	Corporate support
NEC	Telephone services
PricewaterhouseCoopers	Human Resources services
CanPrint Communications Pty Ltd	AusInfo facilities management
Dun & Bradstreet	Financial viability assessments for endorsed suppliers
PricewaterhouseCoopers Process Solutions Pty Ltd	Management of the Commonwealth’s non-Defence global property portfolio
Commonwealth Bank of Australia	Transactional banking

APPENDIX D FREEDOM OF INFORMATION

Section 8 of the *Freedom of Information Act 1982* (FOI Act) requires each Commonwealth agency to publish information on:

- the way it is organised, its functions, and the powers needed to perform those functions that affect members of the public;
- arrangements for public participation in its work;
- categories of documents that it holds, including:
 - those available to the public on request
 - those available for purchase
- the ways the public may obtain access to the agency's documents and the contact point for inquiries under the FOI Act.

ORGANISATION, FUNCTIONS AND POWERS AFFECTING THE PUBLIC

Organisation

An organisational structure chart appears in Chapter 2 of this report (see p.13).

Functions and Powers

A brief description of the Department's functions can be found in Chapter 2 of this report. More specific details can be found in Chapters 3, 4 and 5 which address the Department's performance against our outcomes.

Decision-making powers for the purpose of the FOI Act can be found on the Department's website (www.finance.gov.au) under the heading 'Legislation'.

FOI PROCEDURES

Procedures and Initial Contact Points

Inquiries may be made by letter, telephone or in person. Formal FOI requests must be made in writing and lodged with the Department's FOI Coordinator (see contact details below). Each request must be accompanied by a \$30 application fee and should include a telephone number, a fax number (if available) and a return Australian address.

If an applicant wishes to have an initial FOI decision reviewed, requests for internal review must be accompanied by a \$40 application fee.

Facilities for Access to Documents

Members of the public may make inquiries on FOI matters at the access point described below. This access point is open for business between 9.00 am and 4.30 pm Monday to Friday (except public holidays). The FOI Coordinator will be available to receive inquiries and supervise inspection of documents to which access has been granted. It is suggested that an appointment be arranged prior to seeking access.

A reading room is available for the examining of documents to which access is granted. Photocopying facilities also are available at the access point. Information on access for people with disabilities can be obtained from the FOI Coordinator.

Freedom of Information Contact and Access Point

FOI Coordinator
Department of Finance and Administration
John Gorton Building
King Edward Terrace
PARKES ACT 2600
(Tel) 02 6215 3751 or 02 6215 3615
(Fax) 02 6215 3386
e-mail: foi@finance.gov.au

Charges

The Department's policy on levying charges under the FOI Regulations (Fees and Charges) is that, where applicable, fees should be collected and charges imposed for processing FOI requests. However, fees may be remitted and charges reduced or not imposed if there is a valid reason to do so. Further advice regarding fees and charges can be obtained from the FOI Coordinator.

Officers Authorised to Make Decisions Under the FOI Act

Departmental SES officers, Executive Level 2 officers and the FOI Coordinator are authorised to make decisions under the FOI Act.

CATEGORIES OF DOCUMENTS

The categories of documents listed below are held in either Finance's central or regional offices and are stored in filing systems, on computers, in registers and in other storage facilities.

The Department maintains a website at www.finance.gov.au. The majority of the documents published by the Department are available on this site, together with other publications and additional information about the Department.

Documents Available Free of Charge

Improved and More Efficient Government Operations:

- Guidance on competitive tendering and contracting including:
 - *Competitive Tendering and Contracting: Guidance for Managers*;
 - *The Performance Improvement Cycle: Guidance for Managers*;
 - *Management Systems to Navigate Change in the Public Sector*;
 - *Panel of CTC Consultants Information Kit*.
- Guidance on purchasing and procurement:
 - the *Commonwealth Procurement Guidelines*, associated circulars and supplementary guidelines;
 - Australian Government purchasing policies, procurement agreements and responses to relevant committee reports;
 - various documents relating to risk management in procurement.
- Documents relating to Endorsed Supplier Arrangements (ESA), including the ESA Application and the Government Information Technology and Communications contracting framework version 3 (GITC3) at www.esa.finance.gov.au.
- Guidance on access to Government information, including *Guidelines for Commonwealth Information Printed in Electronic Formats*.
- *Client Service Charter Principles* and other information on Government Service Charters.
- *PSS/CSS Long Term Cost Report*.

- Portfolio Budget documentation including the Portfolio Budget Statements and Portfolio Additional Estimates Statements.
- Commonwealth Budget papers for the 1996 Budget onwards.
- Other whole-of-government Budget-related documents including:
 - Mid-Year Economic and Fiscal Outlook from 1996 onwards;
 - Pre-election Economic and Fiscal Outlook (PEFO) 1998;
 - Final Budget Outcome 1996 onwards;
 - Commonwealth's Consolidated Financial Statements for the years ended 30 June 1996 to June 30 2000.
- *Outcomes and Outputs Framework Guidance Document* and other policy documents on accrual budgeting.
- Comcover Policy Manual.
- Comcover newsletter *Federal Risk Manager*.
- Comcover Information Bulletins.
- *Agency Banking Framework Guidance Manual*.
- Determinations, statements and reports of the Remuneration Tribunal.
- *Parliamentary Contributory Superannuation Scheme Handbook*.

Other Documents:

Improved and More Efficient Government Operations

Management Advisory Board—Management Improvement Advisory Committee (MAB–MIAC) publications.

Efficiently Functioning Parliament

- Australian Political Exchange Council—annual reports (www.polexchange.org.au).
- *Members of Parliament (Staff) Act 1984*:
 - consultants engaged under section 4 of the Act;
 - annual reports;
 - Certified Agreement 1999–2000.
- Parliamentarians' travel paid by the Department of Finance and Administration (tabling documents).
- Rules, guidelines, practices and procedures used for the purpose of administering Parliamentary and electorate entitlements.

Other

- Portfolio Ministers' speeches and media releases.
- Departmental media releases, instructions, circulars and reference books.
- Personnel and personal documents, employee relations and human resource management papers (Corporate—Human Resources).
- Online Action Plan.
- *Department of Finance and Administration Annual Report 1997 onwards*.
- Finance Diversity Programme 1997–2000.
- Financial and accounting records including requests for tender, contracts and quality assurance documents.
- Committee records and reports.
- Department of Finance and Administration Certified Agreement.
- Departmental security manual.

ARRANGEMENTS FOR OUTSIDE CONSULTATION

Purchasing Advisory and Complaints Service

As part of the Government's December 1997 decision on Commonwealth purchasing arrangements, a telephone hotline was established on 1800 650 531 in Finance to facilitate business and agency queries and access to information about Commonwealth purchasing. The service also aims to improve communication between suppliers and buyers, and to provide impartial advice to help resolve any complaints about Commonwealth purchasing processes.

Australian Procurement and Construction Ministerial Council (APCMC)

The APCMC, comprising Government Ministers representing each jurisdiction on procurement and construction issues, is the peak group for consideration of these matters.

Australian Procurement and Construction Council (APCC)

The Ministerial Council is supported in its work programme by the APCC, a body of State, Territory, Commonwealth and New Zealand officials set up to consider broad strategy issues relating to public sector procurement, supply and construction.

FOI STATISTICS FOR 2000-01

The following tables comprise FOI inquiries that were dealt with by the Department during 2000-01.

Requests on Hand:

carried over from 1999-2000	10
received during year	41

Requests Finalised:

withdrawn (following consultation(s) and imposition of charge)	13
granted in full	9
granted in part	14
denied in full	4
lapsed (following consultation(s) and imposition of charge)	3
outstanding as at 30 June 2001	6

Internal Reviews:

received	4
finalised	4
AAT Appeals	1
AAT Appeals (ongoing)	1

Privacy Act 1988

There were no complaints received or other matters dealt with under this Act.

PARLIAMENTARY RETIRING ALLOWANCES TRUST

Statement required under section 8 of the FOI Act.

Establishment

The Parliamentary Retiring Allowances Trust was established by section 5 of the *Parliamentary Contributory Superannuation Act 1948*.

Organisation

The Trust is a body corporate consisting of five trustees. They are the Minister for Finance and Administration, two Senators and two Members of the House of Representatives. Officers of the Department of Finance and Administration provide assistance and advice as required.

Functions

The Trust exercises certain powers under the *Parliamentary Contributory Superannuation Act 1948*, the *Parliamentary Contributory Superannuation Amendment Act 1978*, and the Parliamentary Retiring Allowances Regulations, which provide a contributory superannuation scheme for Members of Parliament.

Powers

The *Parliamentary Contributory Superannuation Act 1948* confers on the Trust certain discretionary powers concerning:

- l the nature of retirement;
- l the deferment of commutation elections;
- l payment of benefits in respect of eligible children of deceased members;
- l the terms of payments to the Commonwealth in respect of periods of previous parliamentary service;
- l the preservation of superannuation rights from previous employment;
- l reduction in the rate of pension where other benefits are payable;
- l reduction of benefits to take account of the superannuation surcharge;
- l recovery of overpayments;
- l payment to other than beneficiaries.

Categories of Documents

The Trust maintains the following categories of documents, which are made available to the public:

- l agendas and minutes of Trust meetings;
- l correspondence between members of the Trust;
- l correspondence concerning the arrangements for meetings of the Trust;
- l papers concerning the appointment of members of the Trust.

ARRANGEMENTS FOR OUTSIDE PARTICIPATION

Persons or bodies may make representations on the Parliamentary Contributory Superannuation Scheme by writing to the Minister for Finance and Administration.

APPENDIX E GRANTS IN AID

The Minister for Finance and Administration approved the following grants in aid in 2000–01.

Name of Recipient	Purpose of Grant	Amount Paid
Menzies Research Centre Limited	To undertake general research into social and political issues, lectures, lecture series and seminars on social and political issues; promote the communication of research into social and political issues; and publish discussion and issue papers.	\$100,000
Chifley Research Centre Limited	To undertake general research into economic, social, cultural and political policies to encourage the development of high quality public policy.	\$100,000
RSPCA Australia Incorporated	To provide public education on animal welfare issues; deliver a scientific seminar; conduct a survey; and review and reprint the RSPCA Policy and Position Papers.	\$24,634
Australian and New Zealand Federation of Animal Societies Incorporated	To provide representative animal welfare movement views and soundly based and documented animal welfare advice to the Government's agriculture, environment and science portfolios.	\$24,634
Australian Institute of Political Science	To deliver a series of forums to debate, analyse and discuss public policy issues relating to health, information technology, education and politics; and publish <i>AQ—Journal of Contemporary Analysis</i> to provide topical analysis of Australia's main political, cultural and social issues.	\$24,634
Royal Humane Society of Australasia Incorporated	To provide and present bravery awards to recipients in Victoria, South Australia, Western Australia, Queensland, Tasmania, the Australian Capital Territory and the Northern Territory.	\$23,000
	Total	\$296,902

APPENDIX F OCCUPATIONAL HEALTH AND SAFETY (OH&S)

Finance's commitment to OH&S and injury management continued to bring about workplace improvements. These improvements have been reflected in:

- a lower frequency rate for workers' compensation claims frequency rate (that is, number of claims per \$million in wages and salary), falling from 0.337 in 1999-2000 to 0.239 in 2000-01;
- a decrease in sick leave, from an average of 6.39 days per employee in 1999-2000, to an average of 5.02 days per employee in 2000-01;
- a lower compensation premium rate for 2001-02.

Finance also continued to identify and address key workplace health and safety issues as they arose, including:

- wide-scale workplace assessments conducted throughout the organisation by professionally qualified assessors to assist employees in setting up workstations in the most appropriate and safe configuration;
- information sessions providing guidance and advice on how to avoid occupational overuse related injuries;
- early intervention programmes initiated for those employees presenting signs of emerging overuse injuries;
- active return to work and rehabilitation programmes, as required, to assist employees return to full-time employment as soon as possible.

Under its Work and Home Life Balance Programme, Finance continued to provide a range of preventive health initiatives to optimise the health and wellbeing of its employees.

These initiatives included:

- a seated massage program aimed at helping employees recognise and alleviate low levels of physical tension and discomfort due to computer work or other work-related factors;
- health assessments of employees over the year aimed at improving overall health;
- seminars on key health issues such as diabetes, healthy lifestyle and achieving balance in your life;
- influenza vaccinations;
- improving on-site gymnasium facilities to enhance fitness levels of employees who regularly use this facility.

Significant OH&S initiatives for 2000-01 were:

- development and implementation of procedures for the notification and reporting of workplace incidents;
- introduction of procedures for the provision of first aid services in the workplace;
- development of an improved website on the Finance intranet site for the effective dissemination of occupational health and safety information and procedures.

REPORTING REQUIREMENTS UNDER THE OCCUPATIONAL HEALTH AND SAFETY (COMMONWEALTH EMPLOYMENT) ACT 1991

Section 68 Occurrences (Notification and Reporting of Accidents and Dangerous Occurrences)

- ▮ One incident was notified to Comcare under section 68 of the Act.

Section 29 Notices (Provisional Improvement Notices)

- ▮ No Provisional Improvement Notices were issued.

Investigations

- ▮ No investigations were conducted.

Section 45 Directions (Power to Direct that Workplace Not Be Disturbed)

- ▮ No directions were given to Finance under section 45 of the Act.

Section 46 Notices (Power to Issue Prohibition Notices)

- ▮ No notices were issued under section 46 of the Act.

Section 47 Notices (Power to Issue Improvement Notices)

- ▮ No notices were issued under section 47 of the Act.

WORKERS COMPENSATION

The average claim cost in Finance was \$19,273 in 2000–01, compared to \$11,194 in 1999–2000.

The Finance and MOPS Act staff combined workers compensation premium rate for 2001–02 is 0.64 per cent of total salaries, compared to 1.02 per cent for the Commonwealth overall.

EMPLOYEE ASSISTANCE PROGRAMME

An employee assistance programme is provided for employee counselling, mediation and assistance to managers. The programme was well used by Finance for both prevention and intervention when required.

APPENDIX G ASSESSMENT OF PERFORMANCE AGAINST PURCHASING POLICIES

Finance's purchasing policies are in line with the principles of the Commonwealth Procurement Guidelines (CPGs). These guidelines are included in Finance's CEIs, to enhance compliance with them.

The Internal Audit Unit conducts probity reviews of Finance's contracting arrangements to ensure compliance with the procurement principles in the CPGs and the CEIs, which together form the Departmental purchasing and probity guidelines. During 2000–01, the Internal Audit Unit conducted 155 probity reviews within Finance. All reviews ensured a defensible purchasing outcome in accordance with CPGs and supporting policy and principles.

ASSESSMENT OF EFFECTIVENESS OF ASSET MANAGEMENT

After a competitive tendering process, Finance entered into a strategic alliance with PricewaterhouseCoopers Process Solutions Pty Ltd (PwCPS) on 3 August 2000 for the ongoing management of the Commonwealth's non-Defence global property portfolio. These property assets comprised the most significant portion of Finance's balance sheet.

Performance indicators for the management of these assets were included in the 2000–01 PBS. Finance's performance against these indicators and further information about PwCPS role in managing this portfolio is in Chapter 4, Output 2.2.1 (see p. 47–48).

APPENDIX H STAFFING OVERVIEW

Finance has a four-level structure:

- Level A includes SES bands 1–3;
- Level B includes Executive Level 2;
- Level C includes Executive Level 1 and APS Level 6;
- Level D includes APS Levels 1–5.

Ongoing, Non-ongoing and Casual Staff at 30 June 2001

		Finance Level A		Finance Level B		Finance Level C		Finance Level D		Total	
		1999	2000	1999	2000	1999	2000	1999	2000	1999	2000
		–00	–01	–00	–01	–00	–01	–00	–01	–00	–01
Ongoing	Female	9	12	38	36	96	95	145	153	288	296
	Male	21	24	64	60	116	104	155	123	356	311
	<i>Subtotal</i>	30	36	102	96	212	199	300	276	644	607
Non-ongoing	Female	4	1	1	4	11	8	40	21	56	34
	Male	9	11	7	2	13	6	11	20	40	39
	<i>Subtotal</i>	13	12	8	6	24	14	51	41	96	73
Casual	Female							38	38	38	38
	Male							140	136	140	136
	<i>Subtotal</i>							178	174	178	174
Total		43	48	110	102	236	213	529	491	918	854

Full-time, Part-time and Casual Staff at 30 June 2001

		Finance Level A		Finance Level B		Finance Level C		Finance Level D		Total	
		1999	2000	1999	2000	1999	2000	1999	2000	1999	2000
		–00	–01	–00	–01	–00	–01	–00	–01	–00	–01
Full time	Female	13	13	38	39	101	96	171	158	323	306
	Male	30	35	70	62	128	105	159	136	387	338
	<i>Subtotal</i>	43	48	108	101	229	201	330	294	710	644
Part time	Female			1	1	6	7	14	16	21	24
	Male			1	0	1	5	7	7	9	12
	<i>Subtotal</i>			2	1	7	12	21	23	30	36
Casual	Female							38	38	38	38
	Male							140	136	140	136
	<i>Subtotal</i>							178	174	178	174
Total		43	48	110	102	236	213	529	491	918	854

Location of Staff at 30 June 2001

		Finance Level A		Finance Level B		Finance Level C		Finance Level D		Total	
		1999	2000	1999	2000	1999	2000	1999	2000	1999	2000
		-00	-01	-00	-01	-00	-01	-00	-01	-00	-01
ACT	Female	13	13	38	40	106	103	191	192	348	348
	Male	30	35	70	62	120	105	196	189	416	391
NSW	Female							12	4	12	4
	Male					3	1	46	37	49	38
NT	Female							1	1	1	1
	Male					1				1	
QLD	Female							4	2	4	2
	Male					1	1	14	10	15	11
SA	Female					1		4	4	5	4
	Male							9	9	9	9
TAS	Female										
	Male					2	1	6	3	8	4
VIC	Female			1				9	7	10	7
	Male			1		1	1	25	23	27	24
WA	Female							2	2	2	2
	Male					1	1	10	8	11	9
Total	Female	13	13	39	40	107	103	223	212	382	368
	Male	30	35	71	62	129	110	306	279	536	486
Total		43	48	110	102	236	213	529	491	918	854

THE CERTIFIED AGREEMENT AND AUSTRALIAN WORKPLACE AGREEMENT

Number of Staff Covered by the CA/AWA (Excluding Casuals)

Finance Level	APS Classification	AWA	CA	Total
Finance Level D	APS1-5 (non-SES)	147	170	317
Finance Level C	APS6-EL1 (non-SES)	148	65	213
Finance Level B	EL2 (non-SES)	81	21	102
Finance Level A	SES1-3	48	0	48
Total		424	256	680

Salary Ranges Available (Excluding Casuals)

Finance Level	APS Classification	Minimum	Maximum
Finance Level D	APS1-5 (non-SES)	\$24,720	\$55,000
Finance Level C	APS6-EL1 (non-SES)	\$44,290	\$85,000
Finance Level B	EL2 (non-SES)	\$64,890	\$95,000
Finance Level A	SES1-3	\$68,228	\$150,000

NON-SALARY BENEFITS

Finance offers all staff a variety of non-salary benefits that are individually negotiated between staff and their respective managers. Examples of benefits included in packages are leased motor vehicles, contributions to a private superannuation fund, laptop computers, study assistance, private health insurance payments, association and club membership, airline frequent flyer programmes and lounge membership programmes.

PERFORMANCE PAY

Employees By Classification—Performance Pay

Finance Level	APS Classification	Employees Who Received Performance Pay	Aggregated Performance Pay	Minimum Performance Payment ¹	Maximum Performance Payment	Average Payment
Finance Level D	APS1–5 (non-SES)	297	\$1,013,965	\$511	\$10,000	\$3,414
Finance Level C	APS6–EL1 (non-SES)	225	\$1,300,588	\$700	\$18,000	\$5,780
Finance Level B	EL2 (non-SES)	96	\$935,949	\$1,200	\$18,000	\$9,749
Finance Level A	SES1–3	46	\$770,155	\$2,000	\$35,000	\$16,743
Total		664	\$4,020,657			\$6,055

¹ Includes pro rata payments.

SES MOVEMENTS

Senior Executive Service Movements 2000–01

Gains/Promotions

Name	Reason
Kathryn Campbell	Promoted from SES Band 1 to Band 2
Anna Clendinning	Transferred from Department of Transport and Regional Services at SES Band 1
Jamie Clout	Promoted to SES Band 1
Darren Condon	Term engagement at SES Band 1
Judy Costello	Transferred from Department of Veterans' Affairs at SES Band 1
Peter Diddams	Term engagement at SES Band 1
Jonathan Hutson	Promoted from SES Band 1 to Band 2
Barry Jackson	Term engagement at SES Band 1
Brett Kaufmann	Transferred from ANAO at SES Band 1
Robert Knapp	Term engagement at SES Band 1
Trixie Makay	Transferred from OASITO at SES Band 1
Jan Mason	Promoted from SES Band 1 to Band 2
Kevin Nixon	Term engagement at SES Band 1
Michael Pahlow	Term engagement at SES Band 1
Todd Ritchie	Term engagement at SES Band 1
Lembit Suur	Promoted from SES Band 1 to Band 2
Guy Verney	Transferred from DEWRSB at SES Band 1
Mark Wiggins	Promoted to SES Band 1

Losses

Name	Reason
Alistair Cochrane	Transferred to the Australian Customs Service (SES Band 2)
Phillip Gouldson	Voluntary redundancy (SES Band 1)
Maureen Grear	Resigned (SES Band 1)
Catherine Mckenzie	Transferred to the Department of Family and Community Services (SES Band 1)
David Martine	Transferred to Treasury (SES Band 1)
Jenny Morawska-Ahearn	Resigned (SES Band 3)
Louise Saave-Fairley	Resigned (SES Band 1)
Eric Thorn	Age Retirement (SES Band 3)
Homer Vanniasinkam	Resigned (SES Band 1)

APPENDIX I ECOLOGICALLY SUSTAINABLE DEVELOPMENT AND ENVIRONMENTAL PERFORMANCE

Under section 516A of the *Environment Protection and Biodiversity Conservation Act 1999* (the EPBC Act), Finance is required to report on its contribution to ecologically sustainable development (ESD) and other environmental matters.

Finance has not yet reviewed the application of the EPBC Act in respect to legislation that the Department overlooks. Finance is waiting for the guidelines from the Department of Environment and Heritage.

Finance has recorded energy savings over the last two years. In the *Energy Use in Commonwealth Operations—Report for 1999–2000*, the Department of Industry Science and Resources (DISR) shows that Finance decreased its energy usage by 32.2 per cent from the previous year. The DISR report clarified the 32.2 per cent decrease was a result of “a number of lease terminations for high energy use buildings”.

Finance took other practical steps to reduce energy consumption in its main tenancies.

In accordance with 516A(6)(d), these included:

- zone-controlled lighting for after hours use;
- use of energy efficient lighting tubes;
- switching off office machines and computers at night and when not in use;
- John Gorton Building’s office layout and light wells help utilise natural light;
- purchase/leasing of ‘Energy Star’ rated office machines and equipment is encouraged, as are machines with ‘power save’ features.

Finance engages in a number of recycling activities including paper and cardboard, printer cartridges, plastics, metals and glass. Wherever practical, fit-out building materials, furniture, stores and stationery items are also recycled.

Finance aims to further increase its efficiency in using energy resources. In accordance with Government policy, Finance has undertaken to develop and implement an Environment Management System (to comply with Australian Standard ISO 14001) in at least one major site by December 2003.

NON-DEFENCE PROPERTY PORTFOLIO

Finance addresses the requirements of the EPBC Act as part of our due diligence process in our development and divestment projects. In this way, we have addressed the requirements of the Act before any contractor comes onto a site or we sell a property. The construction contracts that Finance uses contain generic clauses requiring contractors to meet Commonwealth and State and Territory environmental requirements. Finance is reviewing the need to include a specific clause in our contracts to address the EPBC Act.

APPENDIX J COMMONWEALTH DISABILITY STRATEGY

The Commonwealth Disability Strategy (CDS) recognises that the Commonwealth has an impact on the lives of people with disabilities. Finance plays an important role in assisting the Commonwealth to meet its obligations in two key areas: as a policy adviser and as an employer. Finance's clients are typically Commonwealth agencies, and as such Finance does not deliver programmes to the wider Australian community.

Finance as Policy Adviser

In its role as a policy adviser, Finance recognises its responsibility to ensure new policy proposals are developed in consultation with people with a disability where appropriate.

Given that the Department plays a limited role in the delivery of programmes to the wider Australian community, no new policies or programmes were developed and/or implemented by Finance in 2000-01. However, Finance does operate public websites and public web entry points that have been created in accordance with the accessibility requirements of the Government Online strategy, and useability testing is undertaken for all Finance-managed web entry points.

Finance issued *Guidelines for Commonwealth Information Printed in Electronic Format* in 1999. These were approved by the Human Rights and Equal Opportunity Commission and were awarded a 1999 PSMPC Workplace Diversity Commendation for improving the accessibility of Commonwealth Online information. These guidelines form part of the Government Online strategy.

Finance as an Employer

In our role as an employer, we work across a number of areas to ensure that the Department provides fair and equitable employment opportunities for all members of the community.

In 2000-01, four per cent of those employees who completed a voluntary diversity questionnaire identified themselves as having some form of disability. The actual level of employees with disabilities is expected to be higher than this figure due to non-disclosure. Finance's rate of employment of people with disabilities is in line with that of the broader APS (quoted as 4.2 per cent in the 1999-2000 *Workplace Diversity Report* published by the PSMPC).

Finance works toward providing employment policies, procedures and practices that comply with the *Disability Discrimination Act 1992*. The Department actively meets these requirements by issuing guidelines on eliminating workplace harassment, by issuing a diversity plan, by its 'supported wage systems' within the CA and other flexible employment conditions. In addition, Finance works toward ensuring that its physical premises provide access for people with disabilities. Finance ensures that all recruitment information for potential job applications is available in alternative formats upon request. Our recruitment teams and managers are aware of and apply the principle of 'reasonable adjustment' in regard to our flexible employment framework and recruitment.

Training and development programmes are an important component of Finance's Disability Strategy. These programmes include information on disability issues as they relate to the content of the programme. Recent training programmes were organised for Workplace Harassment Contact Officers to give these officers further skills in working with employees with disabilities. Finance orientation programmes, which have been occurring since May 2000, also address the various related issues.

The creation of a complaints and grievance mechanism has given staff an avenue to raise issues and concerns that occur within the workplace. Finance has developed dispute resolution procedures that give staff access to both internal and external mechanisms to address workplace issues. Finance staff have access to an employee assistance programme offered by an external provider, which assists staff experiencing both personal and professional difficulties.

Finance will continue to recognise issues related to workplace diversity and the CDS. The Department will also incorporate the new requirements in its Diversity Planning, with the new plan due for implementation during 2001.